

**SCHEME FOR
APPROVAL AND MONITORING
OF
ESTABLISHMENTS/FACTORY VESSELS/
FREEZER VESSELS
PROCESSING/STORING
FISH & FISHERY PRODUCTS
FOR EXPORT**

**WITH
AMENDMENTS NO. 1 ,2 & 3.**

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CONTENTS

Cl. No.	Item	Page No.
1	Introduction	1
2	Procedure for approval of establishment	1-8
3	Approval of Technologist	8
4	Procedure for approval of additional facilities/activities of approved F&FP establishment	8-12
5	Procedure for renewal of approval of approved F&FP establishment	12-14
6	Permission to process & pack fishery products for Merchant Exporter	14-16
7.	Change in the name of the company	16-17
8.	Responsibilities of the approved establishment	17-22
9.	Official Control by the Competent Authority	22- 31
10	Guidelines for dealing with unsatisfactory monitoring or other visit reports and /or test reports	31-34
11	Intra laboratory testing and proficiency testing	34-35
12	Procedure to be followed when an approved processing establishment temporarily suspends its production	35-36
13	Export of Fresh/Chilled Fishery Products	36-37
14	Reporting system and time frames	37-38
15	Procedure for approval and monitoring of freezer vessels	38-40
16	Export Certification	40-47
17	Fee Structure	47
18	Procedure to be followed for complaints received from Importing Countries (EU and Non-EU)	47-55
19	Appeal	55
20	Power to relax	55

ANNEXURES

		Page No.
Annex-I	Application for approval for establishments/factory vessels	56-77
Annex-II	Undertaking	78
Annex-III	Guarantee	79
Annex-IV-A	IDP report no.1	80-99
Annex-IV-B	IDP report no.2 (Audit survey report, Document review report, general review report, HACCP audit checklist, etc)	100-114
Annex-IV-C	Requirements for approval	115-119
Annex-V	Letter informing non approval of the unit (EU & Non-EU)	120
Annex-VI	Letter to EIC requesting for conditional approval	121
Annex-VII	Letter informing conditional approval to the unit(EU)	122-123
Annex-VII(A)	Letter informing conditional approval to the unit(Non-EU)	124-125
Annex-VIII	Letter of full approval to the unit (EU)	126-127
Annex-VIII-A	Certificate of approval	128
Annex-VIII(B)	Letter of full approval to the unit (Non-EU)	129-130
Annex-IX	Application for approval for technologist	131
Annex-IX-A	Assessment report for technologist	132
Annex-IX-B	Certificate of approval of technologist	133
Annex-X	Application for approval of additional facility/activity	134-137
Annex-X A	IDP report on additional facility /activity	138-142
Annex-XI	Application for renewal of approval	143-144
Annex-XI-A	Reminder letter to units for renewal of approval	145
Annex-XII	IDP report for renewal of approval	146-154
Annex-XIII	Letter to EIC requesting renewal of approval	155
Annex-XIV	Statement of performance	156
Annex-XV	Application for approval of merchant exporter	157
Annex-XV-A	Letter of approval of merchant exporter	158
Annex-XV-B	Letter of cancellation of approval of merchant exporter	159
Annex-XVI	Criteria of acceptance	160-163
Annex-XVI-A	Parameters of water to be tested once in four months by EU approved establishments	164
Annex-XVII	Monitoring report proforma	165-168
Annex-XVII-A	Non-Conformity Report (NCR)	169
Annex-XVII-B	Suggestions for improvement	170
Annex-XVII-C	Review of Frequency of monitoring	171
Annex-XVIII	Supervisory report	172-173
Annex-XIX	Corporate audit report	174-176
Annex-XX	Application for approval of freezer vessels /renewal of approval of fishing vessel / freezer vessel.	177-181
Annex-XXI	IDP report of freezer vessel for approval/renewal	182-187
Annex-XXI-A	Letter of approval of freezer vessels	188-189
Annex-XXII	Health Certificate format (EU)	190-191
Annex-XXII(A)	Health Certificate format (Non-EU)	192-193
Annex-XXIII	EC Directive no.97/876/EC	194-195
Annex-XXIV	Report on inter calibration	196
Annex-XXV	Weekly statement for CFE issued	197
Annex-XXVI	Indemnity bond	198
Annex-XXVII-A	Monthly report on supervisory monitoring visits	199
Annex-XXVII-B	List of approved units	200
Annex-XXVII-C	Details of health certificate issued	201
Annex-XXVII-D	Details of action taken as per NRCP	202
Annex-XXVII-E	Details of samples failed during monitoring	203
Annex-XXVII-F	Status reports of units having rejections	204-205
Annex-XXVIII	Format of test report for Japan	206
Annex-XXVIII-A	Format for test results of consignments meant for Japan	207
Annex-XXIX	Application for approval for export of Fresh/Chilled F&FP	208-224
Annex-XXIX-A	Assessment Report-1 for approval for export of Fresh/Chilled F&FP	225-242

1. INTRODUCTION

- 1.1 The requirements for the approval of the establishments to process fish & fishery products meant for export have been notified vide GOI Notification S.O. 730(E) dated 21.8.1995, and subsequent amendment 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, and S.O. 1227 (E) dated 23.10.2003, on the basis of which the *establishments* processing fish & fishery products meant for export are being approved by the Competent Authority (Export Inspection Council of India for EU establishments and Export Inspection Agencies for non EU establishments).

The Primary responsibility for meeting the health requirements of importing countries and also those specified in the GOI Notifications lies with the processing establishments/factory vessels/freezer vessels themselves, for which these establishments are required to plan and implement detailed HACCP based process control (own check system) and to maintain necessary records. The role of Export Inspection Council of India (EIC)/EIAs is to exercise official control by approving the units and implementing an effective surveillance system to ensure compliance to requirements as per clause 3 read with clause 13 of the Notification No. S.O. 730(E) dated 21 August 1995.

2. PROCEDURE FOR APPROVAL OF ESTABLISHMENT

2.1 Application for approval

- 2.1.1 *The establishment* intending to process fish and fishery products for export shall submit the application for approval in the prescribed format placed at **Annexure - I (page 56-77)** in duplicate along with documents given at 2.1.3 to the nearest office of EIA under whose jurisdiction the establishment/operational base of factory vessel/ Freezer Vessel is situated.
- 2.1.2 Application fee of Rs. 2000/- shall be paid by the applicant by way of demand draft drawn in favour of the Export Inspection Agency concerned along with the application form.
- 2.1.3 The application shall be accompanied by the following documents:
- HACCP Manual (including the Sanitary Standard Operating Procedures, process flow chart (s) with product description and manufacturing details in each step and also plumbing diagram of water showing water taps serially numbered).
 - In the case of establishments/ factory vessels/ freezer vessels meant for export to the EU, attested/certified copy of test report in respect of water complying with EC directive No.98/83/EEC 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 98/83/EC).

However, in the case of establishments/ factory vessels/freezer vessels meant for export to countries other than EU, the water & ice needs 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 drawn by EIA/laboratory representative and tested in any of the labs of EIAs/CIFT or EIC recognised labs.

- c. Layout plan of the establishment/factory vessel (site plan and building plan preferably in A-4 size)
- d. Attested/ Certified copies of documents proving legal identity of the applicant establishment/factory vessel and scope of their operations.
- e. Attested/ Certified copy of lease agreement for the premises and building, where ever necessary.
- f. Attested/Certified copy of registration certificate issued by MPEDA in respect of Pre-processing Plant / Processing Plant / Cold Storage etc. (If not available at the time of applying for approval, this may be submitted before grant of approval).
- g. Bio-data of the technologist(s) with attested copies of degree certificate(s) , experience certificate(s) and appointment letter/certificate of employment from the establishment and certificate of approval of EIAs if the same is available.
- h. An Undertaking and Guarantee in the formats placed at **Annexure – II (page- 78) & III (page-79)**
- i. Attested/ Certified copy of consent letter issued by Pollution Control Board concerned. (in case the consent letter is not available at the time of applying for approval this shall be submitted before the grant of final approval. However in such cases copy of the application made to Pollution Control Board (PCB) shall be submitted at the time of filing application for approval to concerned EIA).
- j. Attested/ Certified copy of the order allotting Importer Exporter Code number (IEC).

Note In case where a non EU approved establishment / factory vessel submits application for the approval to process F& FP for exports to the EU countries, the documents which were submitted earlier need not be submitted again, if there is no change.

2.2 Processing applications for approval

- 2.2.1 Applications received shall be scrutinised by the EIA office where it has been received and the discrepancies/ shortcomings observed shall be immediately communicated to the applicants for rectification. The application along with the HACCP manual shall be forwarded to the Head Office of the Agency within seven 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 Incharge of the Agency and after assessment of the HACCP manual, an adequacy audit report shall be forwarded to the In-charge of the Agency.

After further scrutiny at Head Office of the concerned EIA, deficiencies, if any, observed in the HACCP manual shall be communicated by the Agency to applicant for rectification.

- 2.2.2 Applications complete in all respect, along with HACCP documentation shall be forwarded by the Agency to the Convener of Inter Departmental Panel (IDP) for arranging assessment of the establishment.

2.3 Assessment of the establishment/factory vessel

- 2.3.1. The Convener of IDP shall ensure that assessment of applicant establishments/ factory vessels is carried out within 15 days of receipt of their application complete in all respect.

In case of initial approval of the establishment/factory vessel the IDP shall assess the unit in two stages. In the first visit the IDP shall assess the infrastructural facilities of the establishment/factory vessel and also their compliance of regulatory requirements specified in the GOI Notification/ Executive Instructions and if satisfied recommends for the **conditional approval** of the establishment/factory vessel.

Once conditionally approved by the Competent Authority, the establishments/factory vessels will be allowed to start processing of F&FP meant for export (however, export to the EU countries will be permitted only after the issuance of notification by EC) and the processor shall intimate the Agency as soon as production has started. While the processing activities are in progress, the IDP shall visit the establishment/ factory vessel once again to assess the processing methods adopted by the unit and also to conduct HACCP auditing. Based on the satisfactory assessment report of the IDP, the final approval shall be granted to the establishment./factory vessel by the Competent Authority.

However, in cases where a non-EU approved establishment/factory vessel submits application for the approval to process F&FP for export to the EU countries, the conditional approval is not required. In such cases, the IDP

may conduct assessment of infrastructure facilities and HACCP implementation of the establishment in the first instance itself and if satisfied recommend for the full approval of the establishment/factory vessel. In such cases, the establishment/factory vessel should ensure that the processing activities are in progress in the establishment during the IDP visit and shall demonstrate the compliance of HACCP implementation and other regulatory requirements.

2.3.2. The composition of IDP shall be as constituted by EIC from time to time.

2.3.2.1 The specific members of the Inter Departmental Panel will be decided by the Incharge of the Export Inspection Agency from the composition of IDP as constituted by EIC. The EIA representative of the IDP (convener) shall be an officer at the level of Deputy Director, having background (qualification/experience) of Fish/Food Schemes.

Note: 1. In the case of EU establishments the present IDP comprises representatives from EIA, CIFT & MPEDA, while in the case of non-EU establishments, in place of CIFT a representative of the Sea Food Exporter's Association of India (SEAI) will be included in the IDP.

2. In unavoidable circumstances, the senior most Assistant Director having enough experience and qualification in fish/food scheme may be nominated as EIA representative by the In-charge of the Agency.

3. While constituting the IDP, experience and expertise of the members in the fishery field shall be considered.

2.3.2.2. The quorum of IDP shall be two. However, as far as possible, all the three organisations (EIA, MPEDA and CIFT/ SEAI) shall carry out the assessment.

2.3.3 The IDP 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-IV A (page 88-99)** for reporting its observations. (The requirements for the approval of the establishment/factory vessel to process F&FP meant for export is enclosed at **Annexure-IV-C page no115-119**).

In case the IDP finds any deficiency during its assessment, the same shall be recorded in the non-conformity report which shall be counter signed by the representative of the establishment as a token of acceptance. The copy of the NCR may be handed over to the establishment along with any observation for improvement. Additional suggestions for improvement, if any, shall be given to the processor separately, the implementation of which shall not be a part of the approval procedures.

The IDP convenor shall submit the assessment report and recommendations of the IDP to the In-charge of Export Inspection Agency within 3 days' of completion of the visit to the applicant's establishment/factory vessel. In case verification of rectification of the deficiencies 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 Incharge within 3 days of verification . The recommendations of the Panel shall clearly state whether the applicant's establishment/factory vessel is recommended for full approval/conditional approval or not.

The IDP shall also assess the production capacity of the processing unit based on the Operational Freezing Capacity of the establishment 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 activities. However, in case MPEDA had already fixed the operational freezing capacity of the establishment/ factory vessel/freezer vessel, the same may be adopted as production capacity.

2.3.4 The report of the IDP visit shall be examined by the incharge of the concerned Export Inspection agency. The following three situations may arise:

2.3.4.1. In case the establishment / factory vessel is recommended for full approval/conditional approval by the IDP, & if agreed to, by the In-charge of EIA, the DD In-charge of FFP scheme, shall take following actions:(Note : The conditional approval is given to the establishment/factory vessel on the initial stage of approval after satisfactory assessment of infrastructure facilities)

- a. Allot an approval number to the establishment/factory vessel
- b. Open a file with 4 parts: Part A, Part B, Part C & 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, IDP assessment reports, approval of additional facilities, technologists, merchant exporter and other correspondence relating to the unit.

“Part B” file shall bear the approval number followed by suffix ‘B’. (e.g.861 B) This file contains copies of monitoring reports, supervisory visit reports, NCR (Non Conformity Report),observations for improvements and laboratory test reports.

“Part C” file shall bear approval number with suffix ‘C’ (e.g. “861 C”) and shall have copies of Certificate for Export (CFE) issued by the unit and Health Certificates issued by EIA.

“Part D” file shall bear approval number with suffix ‘D’(e.g. “861 D”) and have details of foreign Complaint including all relevant papers and details of action taken thereof regarding On Alert” etc.

All records of File A&D shall be kept till the establishment exists. However records of File B & C shall be kept for at least three years.

- c. In case of establishments meant for export to the non-EU countries, the 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 establishment as per the format given at **Annexure VII-A (Pg.no 124-125)**

- d. In the case of establishment meant for export to EU, the In-charge of the Agency shall send the recommendations to EIC in the prescribed format placed at **Annexure VI (page.no. 121)** within three working days on receipt of the IDP report for full approval/conditional approval of the establishment along with the IDP report(s).

2.3.4.2 In case the IDP 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 IDP report, along with the reasons for which applicant establishment/ factory vessel has not been considered fit for approval in the prescribed format **Annexure – V (page 120)**.

2.3.4.3 In case the deficiencies observed and recorded by the IDP 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 and thereafter verification by either IDP or Convener of IDP as may be decided by IDP(see clause 2.3.3). 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 concerned EIA, EIC shall process the same for the approval of Director (I&QC).
- ii. Director (I&QC) may grant full approval/ conditional approval to the establishment. 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 Incharge of the Agency, who in turn shall inform the unit as per the format placed at **(Annexure VII Page 122-123)**.

2.3.6 Once fully approved/conditionally approved, the establishment/factory vessel shall be allowed to process fishery products in their establishment for all destinations including EU, but actual export to the countries of the EU shall commence effective from the date, the EC notification is issued. From that date, EIA concerned, on behalf of EIC shall also start issuing health certificate to the establishment

In the meantime, the establishment/factory vessel shall be allowed to process and export their fishery products to countries other than EU.

2.3.7 As soon as the establishment/ factory vessels starts production of F&FP in their conditionally approved establishment, the same shall be informed to the concerned EIA for arranging the second IDP visit for conducting HACCP auditing and also to assess the adequacy of the processing activities of the establishment/factory vessel. The establishment/factory vessel should have production of F& FP in their unit at the time of IDP

Visit. Assessment of high risk products shall be given due consideration. This is necessary if the establishment is processing many products.

- 2.3.8 The IDP shall conduct the HACCP audit and submit its report to the Incharge of the Agency in the prescribed format placed at **Annexure-IVB (page no. 100-114)**. 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 processor for corrective action which shall be carried out within a maximum period of one month, thereafter verified by the IDP or the convenor of IDP, as decided by the IDP. If required, the IDP 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.
- 2.3.9 On satisfactory completion of the HACCP auditing, the IDP shall recommend the full approval of the establishment/factory vessel and submit report to the In-charge of the Agency.
- 2.3.10 In case of establishments meant for export to non-EU, the In-charge of the Agency shall grant the full approval of the establishment for a period of two years from the date of the conditional approval, which shall be intimated to the unit as per the format specified at **Annexure VIII-B (pg. No. 129-130.)**. However, in the case of establishments meant for export to EU, the In-charge of the Agency shall send his recommendation for approval to the Director (I&QC), along with the IDP report.
- 2.3.11 Action to be taken by the Export Inspection Council (EIC)
- (i) On receipt of the recommendations of the In-charge of the Agency, the technical division in EIC shall submit the same to the Director (I&QC) for approval. Approval of Director (I&QC) shall be simultaneously conveyed to the In-charge of the EIA to enable issuance of a formal letter to the establishment. Unit shall be approved from the date of conditional approval given by Director (I&QC).

Certificate of approval shall be issued by EIC as per the prescribed format placed at **Annexure – VIII A (page No.128)** and sent to the processing unit through the concerned EIA. The certificate under normal circumstances shall be valid for a period of 2 years from the date of conditional approval by Director (I&QC).The certificate of approval shall be issued only after granting full approval to the establishment.

- ii) Once the Director (I&QC), grants the full approval to the establishment /factory vessel, the existing list of the establishment(s)/factory vessel(s) shall be updated by including the name of this establishment/factory vessel and a copy of the updated list along with specific recommendation for approval shall be submitted to MOC&I for onward transmission to the Mission of India, in Brussels for taking up the matter with EC for issuance of notification, with copies to MPEDA, SEAI , Customs and concerned EIA.

- 2.3.12. On receipt of approval of EIC, Agency In Charge shall issue 'formal letter of approval' to the concerned unit with a copy to MPEDA, Commissioner of Customs and to the concerned sub-office with an endorsement to EIC as per **Annexure VIII (page No.126-127)**

3. APPROVAL OF TECHNOLOGIST

The approval of technologists shall be granted only after the technologists are assessed and found fit by the Inter Departmental Panel (IDP). For this purpose, individuals intending to get approval as a technologist shall submit an application as per the format given at **Annexure IX (page No.131)** along with a Demand Draft for Rs.2000/- drawn in favour of the concerned EIA as assessment charge to the controlling office of EIA.

The Head office of EIA shall arrange assessment of the technologist by the IDP, who shall submit the report as per the format given at **Annexure IX A (Page No.132)** On approval of technologist, a certificate of approval will be issued as per the prescribed format placed at **Annexure -IX B (page No.133.)**.

The approval granted to the technologist is valid for two years from the date of approval and after two years the technologist shall apply afresh to the controlling office of EIA along with the required assessment fee for re-assessment of the technologist by the IDP.

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

4. PROCEDURE FOR APPROVAL OF ADDITIONAL FACILITIES/ ACTIVITIES OF APPROVED F&FP ESTABLISHMENT

- 4.1 The approved establishments seeking approval of additional facilities/activities such as cold storage, ice plant, freezer, new process activities etc. shall submit their application in the prescribed format placed at **Annexure-X (Page No.134-137)** 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 of Rs. 2000/- by way of demand draft / cheque drawn in favour of the EIA concerned.

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

4.1.2 For the approval of the additional facilities/ activities for the production of non conventional fishery products such as seafood meal, fish curry, fish pickles etc. having ingredients like spices, oil, cereals, vegetables

etc., the general requirements mentioned below shall also be complied with subject to the relevant statutory requirement in force. The processing method of the individual value added products shall also be adequately described in the HACCP manual.

4.1.2.1 **General**

(a) *HACCP manual*

The HACCP Manual shall address the additional processing activity and have the flow chart for each and every product.

(b) *Traceability*

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

(c) *Residue Monitoring.*

The establishment should have a residue monitoring plan to control the residual contamination for each raw material used to process the new product(s)

(d) *Water:*

If, separate source of water is required for the processing of the non Conventional product(s) the same should be tested as per norms.

(e) *Records*

All the relevant records required for the processing the new product(s) are to be maintained by the unit for verification

(f) *Quality Control and Inspection*

Inspection and testing shall be conducted by the unit at all stages to ensure that the product conforms to the specification.

(g) *Approved Technologist*

Non-EU establishment shall at least have one approved technologist in a day, in case of EU establishment, one approved technologist per shift is required.

4.1.2.2 **Infrastructure requirements.**

(a) *Receiving area*

The area for receiving raw materials other than F&FP used for the production of the non conventional product(s) is to be constructed away from the receiving area used for the fish and fishery

products and shall be constructed in line with the requirements laid down as per GoI Notification.

(b) *Chill Room(s)*

Whenever applicable, separate Chill Room(s) of suitable size having direct access with the receiving area is to be constructed for storing perishable raw materials other than fishery products.

(c) *Storage Room(s)*

Storage room(s) for the non-perishable/dry raw material(s) 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.

(d) *Pre-processing area*

A well defined area with all the infrastructural facilities for pre processing activities of materials other than fish items, is to be constructed as per norms either integrated to the main building or independently, (The receiving area, Chill room(s) storage area(s) and pre processing area shall be integrated to the main building or shall be constructed independently.) EU approved establishments shall also be permitted to procure materials of non fishery products pre-processed in an approved establishment. However, in case of non EU establishments it can be procured from a HACCP accredited establishment.

(e) *The Processing area*

A separate processing hall shall be constructed integrated to the main building for the production of the new product(s) . Such production area shall have all the required facilities for the production of safe and hygienic products as per norms.

(f) *Packing area and storage rooms*

Separate area for packing and storage of the non-conventional products shall also be identified wherever necessary.

(g) *Worker's Entry*

If separate entrance for the workers employed in processing the new product(s) is required, the entry points shall be provided with all the required facilities as per norms.

(h) *Changing rooms*

Additional change room(s) with all facilities are to be provided wherever necessary.

Note: Enough flexibility shall be given while assessing the above infrastructural facilities and the aim shall be to avoid the cross contamination which can also be achieved by time and space separation

4.1.3 Applications complete in all respect shall be forwarded to the Head office of EIA. The In-charge of the Agency shall decide whether the assessment of the establishment to be carried out by the IDP or by the In-charge of fish scheme, depending upon the nature of additional facility/activity requested for approval.

4.1.4 The Convener-IDP/In-charge of Fish Scheme shall ensure that assessment of the additional facility/activity of applicant establishment/ factory vessel is carried out within 15 days of receipt of their application complete in all respect.

4.1.5 The prescribed Assessment Report Format placed at **Annexure-X-A (Page No.138-142)** shall be used for reporting the observations.

4.1.6 In case any major or serious deficiencies are observed during assessment, these shall be brought to the notice of the establishment through the NCR for taking corrective action within an agreed time period, maximum of one month. The rectifications conducted by the establishment are verified by either the IDP or the Convenor of the IDP, as may be decided by the IDP.

The report and recommendations shall be submitted to the In-charge of the concerned EIA within 3 days of completion of the assessment of the applicant's establishment / factory vessel. The recommendations shall clearly state whether the additional facility/activity is recommended for approval or not.

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

4.1.8 In case the IDP/*In-charge of the Fish scheme* recommends the additional facilities/activities for approval, the In-charge of EIA shall take the following steps

a) for the non-EU establishment, the In-charge of the Agency shall approve the additional facility/activity and inform the unit concerned within three days of the receipt of the report of IDP/In-charge of the Fish Scheme.

b) for the EU establishments, the In-charge of the Agency shall forward the following documents to EIC within 3 days of receipt of the report of IDP/In-charge of the Fish Scheme for approval of Director (I&QC) with a covering letter.

- (i) Copy of application received from the processing establishment for approval of additional facilities/activities
- (ii) A copy of the assessment report of IDP/In-charge of the Fish Scheme recommending approval for the additional facilities/activities;
- (iii) Recommendations of the In-charge of the concerned EIA

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

4.2. Action to be taken by EIC

On receipt of the satisfactory report of the IDP/In-charge of the Fish Scheme along with the recommendations of the In-charge of the concerned EIA for the approval of the additional facility/activity, EIC shall process and submit the report for approval of Director (I&QC).

Approval of Director (I&QC) shall be communicated to the concerned EIA, which shall in turn inform the decision to the concerned processing establishment. There will not be any change in the validity of approval given earlier.

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 forwarded to EIC for incorporation of the new process activities.

5. PROCEDURE FOR RENEWAL OF APPROVAL OF ESTABLISHMENTS

5.1 The approved establishment/factory vessel/freezer vessel seeking renewal of approval shall submit application(s), in duplicate, at least **60 days** in advance of the expiry of earlier approval to the controlling local office of the EIA in the form prescribed at **Annexure-XI (page No.143-144)** along with relevant documents and application fee of Rs. 2000/- by way of demand draft / cheque drawn in favour of the EIA concerned. EIA shall remind the processor **(As per annexure XI-A, Pg.No. 145) 75 days** before the expiry of the approval.

5.1.1 Application(s) received shall be scrutinised and any discrepancies / shortcomings observed shall be immediately communicated to the applicants for rectification.

5.1.2 Applications, complete in all respect shall be forwarded to the In-

charge of the Agency for arranging assessment of the establishment.

5.1.3 The Convener-IDP shall ensure that assessment of applicant establishment/ factory vessel/freezer vessel is carried out at the earliest.

It shall be ensured by the Incharge of the Agency and the IDP Convenor that all formalities for the renewal of approval are completed before the expiry of approval. The IDP shall be arrange in consultation with the applicant. It should also be ensured that the establishment is in operation during the IDP visit.

In case the establishment/factory vessel/freezer vessel 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 establishment will need to apply for fresh approval.

The IDP shall use the prescribed Assessment Report format placed at **Annexure – XII (Page no. 146-154) & IV (B) (pageNo.100-114)**

5.2 In case the IDP finds any deficiency during assessment, these shall be listed in the NCR, a copy of which shall be given to the establishment for taking corrective action within an agreed time period. The IDP shall submit its report and recommendations to the In-charge of the concerned EIA within 3 days of completion of its assessment of the applicant's establishment / factory vessel/ freezer vessel. The recommendations of the IDP shall clearly state whether the applicant establishment/factory vessel/ freezer vessel is recommended for renewal of approval or not.

The assessment reports shall be examined by the concerned EIA.

5.2.1 In case of EU approved establishments, if the IDP does not recommend for renewal of approval, the In-charge of the concerned EIA shall recommend to the Director (I&Q/C) for the withdrawal of the approval granted to the establishment/factory vessel/freezer vessel along with the IDP reports within three days of its receipt. However, in the case of non-EU approved establishments, the decision for withdrawal of approval lies with the In-charge of the Agency.

5.2.2 In case the IDP recommends renewal of approval, the In-charge EIA shall take the following steps:

(a) For non- EU establishments, 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 establishment accordingly.

(b) For the EU establishments, the in-charge of the Agency shall send recommendations for the renewal of approval as per the format

specified at **Annexure- XIII (page.155)** along with the following documents to the Director (I&Q/C) within three days of the receipt of the IDP reports .

- i) Copy of application received from the processing establishment for renewal of approval.
- ii) Statement of performance of units as per the format **annexed at XIV (Page156)**
- iii) Copies of the assessment reports of IDP recommending renewal of approval for the unit.

5.3 Action to be taken by EIC

On receipt of satisfactory IDP report along with the recommendations of the In-charge of the concerned EIA, 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 – VIII A (page 128)** and sent to the processing 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

1. Approved F&FP 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) Establishments having assessed production capacity of 5 MT or less than 5 MT/day will be permitted to pack and export for a maximum of one merchant exporter only if the concerned unit does not want to process and export in their own name and the same is conveyed to the concerned EIA in writing.
 - (b) Establishments having assessed production capacity of more than 5 MT up to 10 MT/day will be permitted to process and pack for one merchant exporter. However, if the processor does not want to export in their own name, one more merchant exporter can be accommodated
 - (c) 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 establishment does not want to export in their own name, one more merchant exporter will also be permitted.
 - (d) However, the provision for the number of merchant exporter(s) permitted in each unit as per the sub clauses (a), (b) and (c) above will be effective only from 31.3.2006. Till such time,

Number of merchant exporter in addition to the approved establishment permitted for approved establishments having production capacity up to 5 MT/day	1
No. of merchant exporters, permitted in addition to the owner of the establishment for approved establishments having production capacity of more than 5 MT/day and up to 10 MT/day	2
No. of merchant exporters in addition to the owner of the establishment permitted for approved establishments having production capacity above 10 MT/day.	3

- If the owner of the establishment does not want to export in his own name and submit a declaration to that effect to the concerned EIA, one more merchant exporter shall also be permitted in all the above cases.
2. Establishments exclusively handling fresh/chilled fish, will be permitted to export in the name of the merchant exporter (s) up to the maximum of two, at any given time as operational freezing capacity is not applicable in their case.
 3. Approved freezer vessels are not allowed to process and pack fish and fishery products meant for export by the merchant exporter(s)
 4. Approved F&FP 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.
 5. Merchant Exporter(s) and “ On account” exporter(s) intending to export F&FP should have valid certificate(s) of registration issued by the MPEDA, a copy which shall be submitted to concerned EIA for verification.
 6. Establishments intending to process and pack F & FP on behalf of merchant exporters should submit their applications to the concerned EIA as per the format given at **Annexure—XV (Page 157)**, along with a fee of **Rs. 2000/-** as 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 exporters
 7. Approval to process/handle F&FP meant for export by the merchant exporter(s) is given by the concerned EIA as per the format given at **Annexure XV A (Page 158)**.
 8. Certificate for Export (CFE) issued by the approved establishment meant for export for the merchant exporter/ Export House is to be got counter signed by the concerned EIA, for which a fee of Rs.100/- has to be paid for each certificate by the processor to the concerned EIA. The concerned EIA shall collect the monitoring fee directly from the merchant exporter, if requested by the approved establishment.

9. When an approved processor requests EIA for cancellation of permission given to process and pack fishery products for any merchant exporter, the permission shall be withdrawn using format given at **Annexure–XVB(Page 159)**
10. 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, which ever is earlier

7. CHANGE IN THE NAME OF THE COMPANY

- 7.1. In case there is a change in the name of the company, the concerned establishment shall furnish the following documents to the controlling local office of the EIA under whose jurisdiction the establishment is situated:
 - (i) Attested/Certified legal documents relating to the change
 - (ii) Attested/Certified copy of MPEDA registration in new name.
 - (iii) Any other relevant document (Ref: documents listed in clause 2.1.3 d,f,h,i & j)
- 7.2 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 7.1 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 the EIA shall examine the validity of such documents and on being satisfied shall recommend the change of name/transfer of approval to the Director (I&QC). EIC, after approval, will inform EC, Brussels about the change of name of approved establishment. However, in the case of non-EU establishments, the approval to change the name of the company shall be given by the In-charge of the Agency 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 will continue to be the same.

- (ii) As certain time may be required for the notification of EU, arrangements are to be made for exporting the consignments to the EU in the name of old company during the interim period

7.3 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.

8. RESPONSIBILITIES OF THE APPROVED ESTABLISHMENT

8.1 General

- a. As the sole responsibility in maintaining the quality and safety of the products processed in the establishment lies with approved establishment, they shall develop and implement HACCP based own check system. 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 of the GOI Notifications as well as those specified by the importing country and by EIC from time to time.
- b. Establishments shall maintain all the approved facilities of the unit in good repair. For **major** alterations/ changes in the infrastructure, proper approval shall be taken from the Competent Authority.
- c. All the controls and sampling procedures adopted by the processor shall be addressed in the HACCP manual. Proper identification and control of CCPs shall be ensured by the processor and any deviation in the process flow or, changes made in the HACCP Manual shall be brought to the notice of the concerned EIA immediately.

Implementation of HACCP 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 establishment.

- d Traceability of the raw material, permitted chemicals etc shall be maintained right from the source of production. Test reports pertaining to the quality and safety of the raw material and the additives/ preservatives used shall be maintained by the processor.
- e. Establishments shall validate the processing method used for cooking and calibrate all the recording devices at a laid down frequency so as to ensure proper temperature control.

- f. A cleaning and disinfections programme should be implemented to ensure that all parts of the establishment are appropriately cleaned, including tables, utensils, equipments etc. The programme should be continuously and effectively monitored for its suitability and effectiveness and whenever necessary, documented.
- g. 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 workers handling food products.
- h. Proper control shall be exercised to avoid cross contamination of the product processed.
- i. Suitable pest control measures shall be adopted to eradicate pests inside the factory premises.
- j. Fish and fishery products of other establishments should not be permitted to be stored in the approved premises of the establishment without prior permission from the concerned EIA. Moreover, fishery products processed in the approved establishment shall not be stored in other establishments without prior permission from EIA.

Note: In case of emergency, processor may store the material in another approved establishment, which shall be intimated to the concerned EIA at the earliest.

- k. 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 concerned EIA and shall submit copies of CFEs used, on weekly basis.
- l. Establishments shall not purchase /procure pre-processed products from unauthorised centres
- m. Water and ice shall not be brought from unauthorised centres
- n. Any change in the technologist shall be informed to the concerned EIA immediately.

8.2 Storage and Transportation

- a) Fresh fishery products, thawed unprocessed fishery products, and cooked and 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 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.

- c) If fishery products are kept under ice, melt water must not remain in constant contact with the products.

8.3 Quality Control

Proper quality control measures/sampling plan shall be established by the processor, documented and implemented to ensure the wholesomeness of the products processed.

a) Organoleptic checks

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.

For this purpose, a sample of one Kg. subject to a minimum of 10 pieces shall be tested from every 500 kg. of the raw material received, variety wise and source wise for conducting the organoleptic evaluation *as per HACCP* plan. Organoleptic checks shall also be conducted during processing and after freezing / packing. For the analysis of finished products, type wise and variety wise samples shall be drawn from the days production at random as per the sampling scale. (The criteria of acceptance and the sampling scale is enclosed at **Annexure-XVI (page 160-163)**) Defective lots shall not be allowed for export.

b) Microbiological Checks

Raw materials and finished products shall be tested (type wise/ variety wise/ code wise) for microbiological factors like *TPC, E.coli, Staphylococcus, salmonella, V. cholerae*, and *V. parahaemolyticus* in the in-house lab by the approved technologist(s)

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 .

If salt is used during processing, it shall be ensured by the processor that all the batches of salt purchased shall be free from *Staphylococcus* and *Sulphite reducing clostridium*.

c) Water and Ice

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* of water and ice in their in-house lab at least once in a fortnight. Moreover, EU approved establishment shall test water used for processing and ice production

for all parameters as per EC Directive No.98/83/EC at least once in a year or whenever the source of water is changed. The parameters applicable as per table A (1) of annexure II (**as specified in Annexure XVI-A Pg.No. 164**)of the same EC Directive shall be tested at least once in four months.

However, establishments approved for export to countries other than EU countries shall test water used for processing and ice production as per IS 4251 on yearly basis except for radiological parameters.

d) Additives

Crustaceans shall be tested by the processor to ensure that residue of additives such as sulphites, phosphates etc., are within the permissible limits

e) Histamine

Histamine forming fishes shall be tested by the establishment to ensure that the limits of histamine are not exceeded

f) Total volatile nitrogen

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)

g) Parasites

Establishments shall ensure that fishery products have been subjected to visual examination for the purpose of detecting visible parasites before processing, wherever applicable.

h) Toxic Fishes

Fishery products derived from poisonous fishes belonging to the families like *Tetraodontidae*, *Moridae*, *Diodontidae*, and *Canthigasteridae* should not be processed in the establishments

i) Residual parameters

Raw materials should be tested by the approved establishments for antibiotic residue(for aquacultured shrimps), cadmium(for cephalopods) and pesticides(for farmed shrimps) at least once in two months. For this purpose samples shall be drawn on rotational basis to cover all the sources of procurement. Processing establishments can also test other parameters as specified in their HACCP manual.

The approved establishments shall test all consignments of shrimps meant for export to the EU prior to shipment for antibiotic residue at EIA lab, CIFT lab or EIC approved labs using HPLCMS MS or other appropriate equipment having necessary Minimum Required Performance Limits (MRPL). In case of establishments having foreign rejection due to antibiotic residue, the samples for testing antibiotic residue shall be drawn by the representative of the lab where samples are to be tested or by EIA officer during the 'on alert' period. All consignments of cephalopods meant for the EU shall also be tested for cadmium at EIA labs, CIFT labs or EIC approved labs, prior to shipment.

Consignments of aquaculture shrimps meant for export to Japan shall be got tested for banned antibiotics including nitrofurans metabolites at EIA Lab or EIC approved labs. In such cases, samples shall be drawn by the representative of the Lab where samples are to be tested or by EIA officers

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.

8.4 Records

Proper records shall be maintained by the processor at all stages of production, storage and transportation of fish & fishery products and should be made available to the EIA/EIC officials for verification. The following basic records shall be maintained by the processor.

- ❖ Traceability records pertaining to the raw material, preservative etc.
- ❖ Raw material receiving and evaluation records (E.g. Pre-processing, Processing, Time Temp Records etc).
- ❖ Temperature records of cold storage (s), chill room (s) (when in operation) ,cooker, chillers etc.
- ❖ Consolidated daily production records
- ❖ Freezing & Packing records
- ❖ Organoleptic evaluation records
- ❖ Microbiological / Chemical test reports pertaining to water, ice, products, sanitary samples, additives etc.
- ❖ CCP monitoring records
- ❖ Corrective action and verification records
- ❖ Cleaning and sanitation records(Based on SSOP to cover all the 8 points which includes safety of water;, condition and cleanliness of food contact surfaces; ,prevention of cross contamination; , maintenance of hand washing, hand sanitizing & toilet facilities; protection from adulterants; labelling, storage & use of toxic compounds; employee health conditions; exclusion of pests)
- ❖ Pest Control records

- ❖ Calibration records
- ❖ Maintenance records
- ❖ Training records

8.5 Marking of approval number on export packages.

The approval number along with the specified 'Q' Mark shall be legibly printed on all the export packages of fishery products.

However, export of F&FP without printing 'Q' Mark on the master cartons will be allowed in case where 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.

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

9.1 Monitoring by EIA officials

9.1.1 EIA officials shall carry out periodic monitoring of the establishments/factory vessels/freezer vessels to ensure that (a) all the approved facilities are being maintained by the establishment 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 in the establishment conform to specification.

9.1.2 Monitoring shall be done by an officer of the level of Assistant Director / Technical Officer and each officer shall normally be assigned to units as per discretion of the controlling officer.

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 visits. If there is no production in the unit at the time of visit, the processing activity of the unit shall be re-assessed during subsequent visit.

9.1.4 Frequency of monitoring F&FP establishments:

On initial approval of units, monitoring visits shall be carried out **once in a month**. If the performance of the unit is satisfactory for a year and in the absence of any foreign rejection/complaint, the frequency of

monitoring shall be reduced to **once in two months**

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

In case, at any stage, non-satisfactory performance on account of any major deficiency is observed during monitoring, the monitoring frequency shall be increased to **once in a month** . However, frequency of monitoring shall not be increased in case of contamination of products with residual parameters such as antibiotics, heavy metals or pesticides detected during surveillance visits or at the importing country. The performance of the unit, whose monitoring frequency has been increased to once in a month on account of non-satisfactory performance, shall be reviewed after **one year**. If the performance of the unit during one year is found satisfactory and if there is no foreign rejection/complaint during the period, the frequency of monitoring shall be reduced to once in two months. Further review of frequency of monitoring shall be done after a year as per the above procedure.

The responsibility for periodical review of performance of units and submission of recommendations to Head Office of EIA for recommending the re-fixation of frequency of monitoring shall be that of the controlling field office/ sub office of EIA. The proforma placed at **Annexure XVII-C(PG.No.171)** shall be used for this purpose. In case of the EU approved establishments, the in-charge of the Agency shall recommend the re-fixation of the frequency to the Director (I&QC) for approval. However, in case of non-EU approved establishments, the re-fixation of monitoring frequency shall be done by the in-charge of the Agency. Each EIA shall maintain records showing name, approval number and frequency of monitoring office-wise.

The factory vessels shall also be monitored initially at the frequency of once in a month. Where this is not possible, factory 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 area of jurisdiction of one EIA to that of the other EIAs. However, the frequency of monitoring to the factory vessels shall be re-fixed subsequently based on satisfactory performances of the factory vessels as in the case of approved establishments.

9.1.5 Areas of monitoring

The monitoring shall broadly focus on: -

- *Facility checks*: to ensure that all the approved facilities are being maintained by the unit. This also includes verification of sanitary and

hygienic conditions prevalent at all sections of the unit.

- *Verification of HACCP Implementation:-* to ensure that the unit has implemented the HACCP in toto as envisaged in their 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.
- *Verification of testing and lab practices:-* to ensure that the sampling procedures and test methods adopted by the establishment is adequate and reliable. This includes good lab practices followed in house lab of the unit, effectiveness of lab chemicals, reliability of testing etc.
- *Verification of records:-* to ensure that the records maintained by the unit are in order and are addressing all the controls exercised by the unit.
- *Fraud control:-* to ensure that the unit is not violating the laid down norms. This includes violations with respect to export of F&FP processed in un-authorized places, storages of F&FP from other establishments without prior permission, misuse of CFE, improper labelling, exceeding capacity limits etc.
- *Drawal of official samples:-* to ensure the wholesomeness of the products and effectiveness of cleaning and sanitation. This includes drawal of sanitary samples, samples for testing microbial/residual parameters, samples for organoleptic checks etc.

Note. Detailed HACCP auditing may be done at least once in 6 months. However, all the other areas shall be covered during each monitoring visit, including verification of HACCP records and the own check systems adopted by the unit.

9.1.6 Additional Checks

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:

(i)	Processing	2 ppm. or below.
(ii)	Glazing	2 ppm. or below.
(iii)	Ice manufacture	2 ppm. or below.
(iv)	Hand sanitization dip	20 ppm.
(v)	Foot dip	50 ppm
(vi)	Washing of tables, equipment and utensils	50 – 100 ppm.
(vii)	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 facility etc.
- Rinsing of food contact surface with potable water after every sanitization process.

9.1.7 Parasite checks

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. Infested materials shall not be allowed for further processing. The observations shall be recorded in the monitoring proforma and also in the raw material register maintained by the processor.

9.1.8 Microbiological/Chemical checks

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 +ve Staphylococcus, Salmonella, Listeria,** V. cholerae, V. parahaemolyticus	Raw /process material	Every monitoring visit
2.	TPC, E.coli, Coagulase +ve Staphylococcus, Salmonella, Listeria** V. cholerae, V. parahaemolyticus	Finished products	Every monitoring visit
3.	TPC,E.coli, Coagulase +ve Staphylococcus, Salmonella, V. cholerae,	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 contact surfaces	Every monitoring visit
7.	V. cholerae,	Swabs from worker's hand	Every monitoring visit
8.	Antibiotics (Chloramphenicol, Metabolites of Nitrofurans, sulphonamide group, tetracycline) & Bacterial inhibitors (If detected, further confirmatory tests to identify the inhibitor to be conducted)`	Raw material/finished products(Crustacean only)	5% of the total approved establishments on monthly basis
9.	Cadmium, Lead, Mercury, Arsenic	Raw material/finished products(preferably	Once in 6 months from each approved

		cephalopod)	establishment
10	Pesticides (Organochlorine compounds)	Raw material/finished products	-do-
11	TVB-N & Histamine	Raw material/finished products	-do- (if spoilage of the material is detected during surveillance visits, same shall be tested for TVB-N and TMA-N)
12	Sulphite & added Phosphates	Raw material/finished products	-do-
13.	PSP/DSP	Raw material/finished products of shellfish	-do-
14.	Coagulase +ve Staphylococcus & sulphite reducing clostridium	Salt	-do-

** The details of testing of *Listeria* shall be sent to EIC on monthly basis.

Note: If any of the above parameters are not possible to be tested in EIA-Labs, those parameters shall be got tested at CIFT Lab or any EIC approved Lab.

9.1.9 Sampling scale and sampling procedures

(i) Microbiological analysis

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*, *Staphylococcus*, *Salmonella*, *Listeria*, *V. cholerae*, *V. parahaemolyticus* in the EIA labs.

Product samples shall also be drawn 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.

Moreover, samples shall also be drawn from available cooked crustaceans for testing the microbiological parameters mentioned at sub-clause 9.1.8, during monitoring visits. For this purpose, 5 samples of 150 gms 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 the above paragraph is not required during that monitoring visit.

(ii) Sanitary samples

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 (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 if processing is in progress, adopting the following procedure

Water

Water sample is collected from taps (Tap number to be mentioned in the sample covering notes) in sterile bottles /conical flasks of 1 litre capacity with ground flask stoppers having an overhanging rim. They are sterilised at 160 degree 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 thiosuphate or 0.1 ml. of 2% solution of thiosuphate 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.

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

Collection of Swabs:

25 sq.cm. area are swabbed using a square 5x5 cms. The swab is moved through a distance 12.5 cms. during the swabbing operation .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 4oz. 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 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.

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 & Ice are 20 per ml.

(iii). 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 may be tested for *total volatile basic nitrogen (TVB-N)* and *trimethylamine nitrogen (TMA-N)*. For this purpose samples of about 100 gms are drawn from 3 different points and mixed well by grinding.

(iv). Histamine

During monitoring samples for testing histamine shall be drawn from histamine forming fishery products at least once in six months, however, whenever the histamine forming fishes(Scombridae, Clupeidae, Engraulidae & 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 but no sample may have a value exceeding 200 ppm.

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.

(v) Paralytic Shellfish Poison (PSP) and Diarrhetic Shellfish Poison (DSP) (ONLY FOR SHELL FISH)

Samples of 250 gms 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.

(vi) Sulphites and added phosphates

Additives used shall be monitored once in six months by drawing samples, especially from finished products of shrimps for testing sulphites and added phosphates. The representative samples shall be drawn from a selected code at random. From the cartons so selected, composite samples of 100 gms are drawn for testing the additives.

(vii) Testing of Salt

If salt is used in the establishment for processing, samples shall be drawn for testing Staphylococcus 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 gms is collected for this purpose aseptically in a sterilised container.

(viii) Proficiency testing of the in-house laboratory of the processing establishments.

In order to ascertain the proficiency testing 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 code during the monitoring at least once in a year. One set of sample is sent to EIA Lab and the other set is sent to the in-house lab of the establishment for testing all microbiological parameters. No fee will be charged from the processor for this purpose.

The test results shall be compared by the EIA and if any variation is observed, same will be communicated to the unit for corrective action and subsequent verification by EIA.

(ix) Residue analysis

During monitoring, samples are drawn for testing residual parameters like antibiotics/bacterial inhibitors, heavy metals and pesticides as per the frequency specified at sub-clause 9.1.8. Separate samples of 100 gms each

shall be drawn from raw material or finished product of the particular source at random for testing antibiotics, heavy metals and pesticides from a particular variety of the selected code so as to enable traceability in case of failure. As far as possible, samples for testing cadmium shall be drawn from available cephalopods. A sample of 100 gms of raw material or finished product shall also be drawn for testing bacterial inhibitors as per four plate method or any other approved method.

9.1.10 Reporting system

After completing the monitoring, the report shall be prepared in the Monitoring Report Pro-forma **Annexure XVII (page 165-168)** along with the Non Conformity Report (NCR) and Suggestions for Improvement Report and organoleptic evaluation report wherever applicable and submitted to the controlling office of EIA within 3 days of the visit. Sub Office shall send a copy of MVR, test report, NCR and Suggestion Report to HO on monthly basis for all the establishment. In case of failure of samples, the same shall be intimated to the processor. Test reports can also be given to the processor if specific requests have been made for the same.

Formats of Non Conformity Report (NCR) and Suggestion Report are placed at **Annexure XVII-A. (page 169)** and **Annexure XVII-B (Page 170)** This format 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 establishment/factory vessel 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 within 3 days for scrutiny, acceptance and follow up action.

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

9.2 Supervisory visit

Supervisory visit shall be carried out by an officer of the level of Deputy Director and above from the concerned Agency 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 or Chemistry. The frequency of supervisory visits shall be once in six months.

The Supervisory visit shall be conducted for a) checking the documentation and compliance of the requirements of the EC Directives in case of EU approved units and GOI Notifications, b) quality of monitoring carried out by the monitoring officers.

Samples if any, drawn during such visits shall be sent to the laboratories of concerned Agency. Test report shall be made available within one week. The report of supervisory visit shall be submitted within 3 days to the In-charge of the concerned Agency.

In addition, the availability of water/ice test reports from EIA lab, CIFT lab or EIC approved labs for complete testing once in a year as per Directive 98/83/EC and relating to the parameters applicable as per table A(1) of Annex II of the Directive 98/83/EC tested every four months shall be checked and reported with details. In case of non-EU approved establishments, the test report of water and ice as per IS:4251 on yearly basis shall be checked (except radiological parameters).

The pro-forma of Supervisory visit Report is given in **Annex:-XVIII(page-172-173)**.

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

9.3 Corporate Audit

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

- Examination of records of processor maintained by the Agency like reports of visits, lab reports, approval/renewal of approval etc.
- Visit by the audit team to at least 5% of the approved establishments.
- The audit team shall comprise of at least 2 officers which may be drawn from outside the Agency being audited and also from EIC .If required, experts from outside can also be included in the corporate audit team. The report of audit shall be submitted to Director (I&QC) as per format specified at **Annexure XIX)PG.174-176)**

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.

Some of the other Major deficiencies are as follows:

*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.

*Failure of sanitary samples for TPC, coliforms in three consecutive instances may be considered as major deficiencies

*Failure of finished product samples to meet the quality parameters on freshness based on the test results of TVB-N and TMA-N is also a major deficiency

10.2 Actions to be taken in case of deficiencies observed

10.2.1 In case of minor deficiencies observed during the visit, the corrective actions, shall be communicated to the processor through the NCR and 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 case of failure of samples for TPC and coliform, the following actions may be taken.

- (a) In case of failure of water, ice or product/process samples due to TPC above the permissible limits, the processor shall be advised in writing to take appropriate corrective action, which shall be verified by the monitoring official in the subsequent visit. Processor shall conduct re-sampling after the corrective action and submit the test results to the EIA and the same will be verified in the next visit.
- (b) In 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 +ve staphylococcus*, *Salmonella*, *V.cholerae*, *V.parahaemolyticus* and only of those are cleared shall be allowed for export. The cost of testing of the five consignments shall be borne by the processor.

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

(i) The processor may be placed under consignment-wise inspection until the rectification is done and verified to EIAs satisfaction by a visit by DD - level officer(in case of failure due to contamination with residual parameters, only 3 day codes are tested).

(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. (for EU and Non EU). However, during the suspension period production may be permitted if requested by the processor in un-avoidable circumstances with the approval of the Competent Authority under the supervision of an EIA Officer for which Rs. 2000/- per day has to be paid by the processor to the concerned EIA.

(iii) In case of failure in critical parameters such as, microbiological, organoleptic (freshness) etc. the next 5 consecutive consignments shall be tested and got cleared for the specific contaminant. The defective codes will not be permitted for export. The cost of the testing shall be borne by the processor (*for EU and Non EU*). However, in case of failure due to contamination with the residual parameters, only three-day codes will be tested for the specific contaminants.(In case of emergent situation action specified at (iii) may be taken at EIA level, which may be got ratified by EIC at the earliest. The reason for such emergent situation shall also be communicated to EIC).

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

-In case of failure due to contamination with residual parameters namely; antibiotics & pesticides residues and heavy metal contaminants, actions specified at clause 10.2.2 (i) shall be taken.

10.3 Action against violations

In case of violations, such as (i) misuse of Certificates for Exports (CFEs) (ii) Storing of F&FP at un-authorized premises (iii) Non-payment of monitoring fee (iv) pre-processing of F&FP in unauthorised centres (v) major failure in meeting GMP/GHP/HACCP etc., have been detected, the following penalties shall be imposed on the defaulting unit by the Competent Authority with the approval of the Director (I&QC).

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

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 & 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 incharge 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 incharge of the lab immediately and the incharge 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 conducting 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 XXIV (Page 196)**).
- (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 through CIFT/other labs.

11.2.2 The frequency of proficiency testing for each parameter will be once in a year .

12 PROCEDURE TO BE FOLLOWED WHEN AN APPROVED PROCESSING ESTABLISHMENT TEMPORARILY SUSPENDS ITS PRODUCTION

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

- (i) General repairs/routine maintenance
- (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 contamination of fishery products etc.

- the processor 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 establishment. The processor shall not commence production till EIA gives permission.
- When the establishment is ready to resume production, the processor shall request EIA concerned for permission to commence production. Before granting permission to start production, the EIA concerned shall take following actions:

For (i) ,(ii) & (iii) the establishment shall be inspected by the monitoring officer to ensure satisfactory conditions. after carrying out the corrective actions.

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

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

13 EXPORT OF FRESH/ CHILLED FISHERY PRODUCTS

13.1 Procedure for approval of establishments for exclusively handling fresh/chilled Fish & Fishery Products for export

13.1.1. Procedures specified from clause 2.1.1 to clause 2.3.12 shall be followed for the approval of establishment exclusively handling fresh/chilled products. The proforma for application approval and the IDP assessment are placed at **Annexure XXIX(PG. 208-224), Annexure XXIX-A (Pg 225-242) & Annexure IV-B (page 100-114)**

13.2 Testing

- (a) For the export of fresh / chilled fishery products, the establishments shall conduct bacteriological testing of the consignment on post- facto basis and submit reports to the concerned EIA . However, only one composite sample is to be tested for bacteriological factors on post-facto basis for consignments of a particular variety of fresh /chilled fishery products exported on the same day, which are derived from a single bulk purchase having same traceability code.
- (b) One in ten consignments of fresh/chilled shrimps meant for

export shall also be tested for antibiotic residue specifically chloramphenicol, nitrofurantoin metabolites, tetracycline and sulphonamides on post-facto basis in EIA Labs, CIFT Lab or EIC approved labs. In such cases samples shall be drawn by the representative of the laboratory where tests are to be conducted or by EIA officials or the processor.

In case of failure of samples, next 3 consignments to be exported only after the submission of test results prior to export.

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 on a laid down frequency as specified in their HACCP manual by the processor.

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 drawn on post-facto basis shall be submitted to concerned EIA for verification.

14. REPORTING SYSTEM & TIME FRAMES

Further, a 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.

- Details of monitoring and supervisory visits planned and carried out as per **Annexure XXVII-A(PG.199)**
- List of approved F& FP establishments as per **Annexure XXVII-B(200)**
- Details of health certificate issued after testing antibiotic residue as per **Annexure XXVII-C(PG.201)**
- Details of action taken as per the NRCP report as per **Annexure XXVII-D(PG 202)**
- Details of samples failed during monitoring as per Annexure **XXVII-E (Pg.203)**
- Status of the establishment having foreign rejections as per **Annexure XXVII-F(Pg.204-205)**
- Details of intra calibration (Quarterly basis) as per **Annexure XXIV(Pg.196)**

- Any other information.

14.1 Time frames

Time frames prescribed for various activities shall be as under:

* Submission of reports of monitoring and supervisory visits	3 days
* Testing of monitoring samples in EIA Laboratories	1 week
* Submission of monthly reports to EIC	by 7 th of succeeding month
* Closure of complaints	maximum of 3 months or time taken to offer 10 EU consignments for inspection, whichever is earlier.

15. PROCEDURE FOR APPROVAL AND MONITORING OF FREEZER VESSELS

15.1 Introduction:

Freezer vessels are fishing vessels with freezing and storage facility on board where no processing is done and the frozen material is meant for further processing either in India or abroad. Freezer vessels are required to meet Annexure I and Articles 1 & 7 of Annexure II of EC Directive 92/48 dated 16.6.1992.

15.2 Application for approval:

The freezer vessels intending to export frozen fishery products as raw material for further processing may submit application for approval in the prescribed proforma placed at **Annexure XX (Page177-181)** in duplicate along with documents given at 15.3 to the nearest office of the EIA under whose jurisdiction the freezer vessel's operational base is situated. Application fee of Rs. 2000/- shall be paid by the applicant by demand draft drawn in favour of the Export Inspection Agency concerned along with the application.

15.3 The application shall be accompanied by the following documents:

- a) Layout plan of the freezer vessel showing different sections (preferably in A-4 size)
- b) Attested/certified copy of documents proving the legal identity of the freezer vessel and its scope of operation

- c) Potability certificate of water if fresh water is used (As per EU Directive 98/83/EC or IS: 4251)
- d) Attested copy of any other registration certificate issued by Department of Fisheries/Port Trust/MPEDA
- e) Attested copy of the order allotting Importer-Exporter Code (IEC) number
- f) HACCP Manual
- g) Undertaking as per Annexure II(not applicable for approval of non-EU freezer vessels).

15.4 Procedure for approval:

The procedures like processing the application for approval, HACCP manual, arrangement of the IDP visit, recommending the approval to EIC, etc shall be followed as per Cl. 2.2.1 to 2.3.12 of this document. However, there is no need for conditional approval for the freezer vessel, therefore, the IDP shall conduct the assessment of the infrastructural facilities and HACCP implementation of the vessel in the first instance itself. The IDP shall use the prescribed assessment report format as per **Annexure –XXI (Page 182-187)**. The IDP shall assess the production capacity of the Freezer Vessel based on the freezing and storage capacity of the vessel

15.5. Monitoring of Freezer Vessels:

The Freezer Vessels approved by the competent authority shall be monitored at least **once in a month** by the EIA to ensure that approval conditions continue to be met and the vessel complies with the hygiene requirements of Directive No. 92/48/EEC. It shall be the responsibility of the owner of the freezer vessel to make available the vessel to the EIA concerned at least **once in a month** for monitoring. If the vessel moves from the jurisdiction of the EIA which originally accorded approval, it shall inform the EIA in whose jurisdiction it operates and also the EIA which originally approved it for arranging periodical monitoring at least once in a month. At any case the monitoring shall not be delayed for more than **three months**.

15.6. As per the information furnished by the Mission of India to the EU, Brussels, the freezer vessels should comply with the following requirements:

- a) Normally, bulk packaging is used for large fishes such as tuna. Export of smaller fishes is normally done in blocks. When fishes are stored in cold stores of freezer vessels, these are kept in bulk form but when exported they are converted into blocks of sizes depending upon the export contracts, which generally is between 5 to 10 Kgs. It may be noted from Article-2(3)of the Commission

Decision No. 97/876/EC that word bulk is qualified by the statement “and intended for the manufacture of preserved foods”. This means that further processing is intended in the approved establishments in India. It is because of this reason that the fishery products preserved in bulk form in freezer vessels have been excluded from the labelling requirement.

- b) When fishery products are exported in blocks it would be necessary to have an individual inner packaging before it is packed in a carton.
- c) Freezer vessels shall be approved as an establishment as required by Directives 91/493 (Chapter V) and 92/48. When a Freezer Vessel delivers the fish in bulk at the approved cold stores, the EIA should check the material to determine whether it is fit for further processing and export.

EIA shall carry out organoleptic, chemical and microbiological tests and tests for residual contaminants. Fee at the rate of 0.3% of FOB value shall be charged by EIA for carrying out organoleptic, chemical and microbiological tests of fishery products offered for inspection by the approved freezer vessel.

15.7 Renewal of approval:

See Clause no. 5 of these Executive Instructions. The application form for renewal of the approval and the IDP report proforma are specified at **Annexure-XX(pg. 177-181)** and **Annexure XXI (pg.182-187)** respectively.

16. EXPORT CERTIFICATION

16.1. Certificate for Export (CFE)

16.1.1. Procedure

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 processing units shall issue a Certificate for Export (validity for which is 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) for every export consignment.

Blank Certificate books shall be obtained from EIAs at a cost of Rs.10/- 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 processing unit. EIAs shall maintain proper records of issuance of blank CFEs and their utilisation by the establishments.

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

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

If the CFE is expired then the same can be revalidated upto 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 establishment has to submit the original of the cancelled CFE to EIA, with other three copies (full set) and original HC (if already issued) pertaining to the concerned CFE. The EIA shall issue the health certificate in lieu of the previous one.

16.1 .2 Weekly Statement on Certificates for Export issued

1. Every approved establishment /factory vessel shall submit to the controlling EIA office a weekly statement on Certificates **enclosing the pink copy** of CFE issued during the preceding week for export of fishery products in the pro-forma given at **Annexure XXV (Page -197)**. Based on the weekly statement submitted by the approved establishments a monitoring fee @ 0.2% of the FOB value of the export consignment shall be debited from the account of the processor by the concerned EIA.
2. The pink copy of every CFE issued along with the related production code/grade-wise packing list and invoice copy shall be attached to the weekly 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 to be issued, on request by the processing unit 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 5 sets remaining so as not to cause any operational problems.
4. If no CFE was issued during the preceding week, 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 processing unit must have a Pass Book system operating with the nearest office of EIA. The processor 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 an affidavit to that effect to the concerned EIA as per the format given at **Annexure-XXVI(Pg 198)**. EIA, in turn, shall inform the Customs to check that those numbers have not been presented to them. Further, Customs shall be informed not to accept those specific certificates in future.
8. if the approved establishments are not submitting the statements even after 15 days, further CFEs shall not be issued to them by the concerned EIA. Moreover, a show-cause notice may be issued to the concerned establishment as to why the production and export may not be suspended by the Competent Authority.

16.2. Health Certificate.

16.2.1. Procedure for issuance of Health Certificate to countries of the European Union

16.2.1.1 General

- (a) All consignment of Indian Fishery products exported to the EU are required to be accompanied by a numbered original health certificate, comprising a single sheet in accordance with the model **Annexure – XXII (pg.190-191)** 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 should be issued before or on the day of shipment and cannot be issued retrospectively.
- (b) Since European Commission has recognised the Export Inspection Council of India of Ministry of Commerce as the Competent Authority in India for verifying and certifying compliance of Fishery and Aquaculture Products with the requirements of Directive No.91/493/EEC, all EU approved F&FP establishments are required to obtain Health Certificate from competent authority (EIC/EIAs) only.
- (c) Only the officials of the Export Inspection Agency are authorised to issue and sign the health certificates for exports of fishery products to EC. A copy of the commission decision of 23rd December 1997 (97 / 876 /EC) is enclosed for ready reference at **Annexure- XXIII (pg194-195)**. In case it is found that an establishment has obtained health certificate from any authority other than the Competent Authority, approval granted to it for exporting to EU will be withdrawn forthwith.

Note: If Health Certificate is lost in transit or otherwise, the establishment 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 health certificate.

16.2.1.2. 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/exporter shall request for health certificate from the controlling office/sub-office of EIA concerned in the prescribed application form furnishing all necessary information along with:

- a) A fee of Rs.100/- per certificate.
 - b) The pink copy of the Certificate for Export (validity for which is 15 days from the date of issue) relating to the consignment issued by the approved processor.
- (ii). In case certificate is required in foreign language other than English additional charges will be levied
 - (iii). The controlling local office of the EIA responsible for monitoring the units shall issue health certificate to the processor/exporter after satisfying itself that the fishery products are processed in approved establishments/ factory vessels/freezer vessels having valid approval number and after satisfying the relevant requirements such as testing of every control unit (Production Code) by the unit for organoleptic and bacteriological factors, results of antibiotic/heavy metals etc. and maintenance of test records.

It shall be noted that the approved establishment/factory vessel shall test all the consignments of shrimps meant for export to the EU prior to the shipment for antibiotic residue specifically chloramphenicol, nitrofurans metabolites, tetracycline and sulphonamides at EIA Labs, CIFT labs or EIC approved Labs using HPLC MS MS or other recognised instrument having necessary MRPL and test results are to be submitted to the concerned EIA for getting health certificates. In case of establishments having foreign rejection due to antibiotic residue, the samples for testing antibiotic residue shall be drawn by the representative of the lab where samples are to be tested or by EIA Officer during the 'on alert' period. Consignments of cephalopods meant for the EU are also to be tested for cadmium by the processor and only on the submission of the satisfactory test results the certificates shall be issued.

Health certificate meant for exports to EU shall be prepared in triplicate, the original for the exporter for forwarding to the importer, the pink copy for EIA Head Office and blue copy for record of the concerned issuing office.

- (iv). Each health certificate shall bear the name, designation and signature of the representative of EIC 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 printing of certificate. Since the certificate is printed in black, the signature must not be in black colour. The signature shall be in blue or red colour on the original of the certificate. The copies of the certificate shall have the carbon impression of the signature.
- (v) The Health Certificate in the prescribed pro-forma shall be issued to the approved establishment/factory vessel/freezer vessel. The multilingual Health Certificate blanks supplied are in 4 types of language combinations and can be used for countries as shown below"

Language Combination	Countries to which it can be used
English/Italian/French	U.K., France, Italy, Luxembourg, Belgium, Ireland
English/Swedish/Danish /Finnish	U.K., Sweden, Denmark, Finland.
English/German/Dutch	U.K., Germany, The Netherlands, Austria
English/Spanish/Greek/ Portuguese	U.K., Spain, Greece, Portugal

- (vi). The health certificate will be issued in a form, which contains the language of the destination port/country. However, the entries to be made shall be in English. Entries in the Health Certificate may also be made in the language of the destination port/country if correct words in the language are available for completing the health certificate.

Example:

Country of despatch	Republic of India (printed)
Competent authority	Export Inspection Council of India of Ministry of Commerce & Industry.

(vii) Reference number of health certificate :

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

Each Sub-office shall give serial number for each health certificate issued prefixed by Agency/Sub-Office codes. For Example:

Sub-Office:

Thoppumpady (Insp.)	CN / TY
Quilon	CN/QN
Alleppey	CN/AY
Calicut	CN/CT
Mangalore	CN/MN
Karwar	CN/KR

As an example, the certificate issued by Sub-office:Thoppumpady will have a reference number: CN/TY/1. CN/TY/2

Note : Annexes, if any, such as results of analysis shall have the same reference number as that of the health certificate.

(viii) 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 family name, e.g. **Penaeus spp.**, **Palaemonidae spp.**, **Loligo spp.** etc.

(ix) Presentation of Product and type of treatment:

In the case of frozen fishery products, "Frozen Product" may be indicated. In other cases, "prepared", "processed" etc, as appropriate, may be given.

Frozen Peeled-Undeveined/Frozen Peeled & Deveined/Frozen Headless Shell-on/Frozen Cooked & Peeled Shrimp etc can be given

In case of Fresh / Chilled fish	Chilled Fresh Fish
Type of packaging	Indicate the type of packaging such as Corrugated fibreboard Master Cartons
Number of packages	Cartons (10 x 2 kg. per carton) etc.
Net weight	Give the weight in kilogrammes

(x) Temperature required during storage and transport:

For frozen fishery products, write -18° C or below

For chilled fresh fish, 0° C to 4° C

(xi) Origin of products

Give the name & address and approval number of the processor(s)
Establishment/Freezer Vessel/Factory Vessel

(xii) Destination of product

Place of despatch	Show the port of shipment; e.g. Cochin, New Mangalore etc
Country and place of destination	Show the country/Place of destination e.g. The Netherlands/ Rotterdam
Means of transport	Show as "By sea per vessels ...(name of vessel)" or "By air flight number....."
Name & address of dispatcher	Show the name and address of the actual exporter. Exporter can be different from processor.
Name of consignee & address at place of destination	Here show the name and address of importer or his nominee who receives the consignment at the port of destination/place.
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 : (1) Issue of health certificate shall be limited to only the actual quantities produced / processed by the establishment. In no case should the certified quantity significantly exceed the production capacity, as assessed by the IDP.

(2) In case, the establishments 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.

16.2.2 Procedure for issuance of Health Certificate for Non-EU countries

The Health Certificate for consignments of fish and fishery products meant for export to Non-EU countries shall be issued by the concerned EIA in the prescribed format mentioned at **Annexure XXII(A) (pg.192-193)** or in any specific format as required by the importing country. The details of Health Certificates issued for consignments meant for export to Australia shall be submitted to EIC on monthly basis along with the copy of the HC.

16.3. Other Certification

In case the exporter approaches EIA for testing the consignments of aquaculture shrimps meant for export to Japan for antibiotics residue including nitrofurans metabolites, the samples shall be drawn by an EIA officer deputed for this purpose and same shall be tested at EIA Lab under its jurisdiction. However, for parameters, which cannot be tested in EIA Lab, these may be got tested at EIC approved labs. The cost of testing shall be borne by the processor. The test reports shall be issued as per the format enclosed at **Annexure-XXVIII (pg.206)**. Details of consignments tested and test results shall be sent to EIC on monthly basis as per the format enclosed at **Annexure-XXVIII-A(pg.207)**.

17. FEE STRUCTURE

- 1) **Monitoring fee** – A monitoring fee at the rate of 0.2% of FOB Value of exports shall be paid to the concerned EIAs by the processing establishment / factory vessel/freezer vessels:
- 2) **Fee for Consignment-wise Inspection** – The fee to be charged in the case of approved establishments placed under consignment-wise inspection based on the decision taken as per clause 10.2.2 (ii) & *in other cases* shall be @ 0.3% (this includes the monitoring fee) of the FOB value plus testing charges in addition to the deputation charges @ Rs.2000/- per man-day.

18. PROCEDURE TO BE FOLLOWED FOR COMPLAINTS RECEIVED FROM IMPORTING COUNTRIES (EU and Non EU)

**** (all sentences in italics are additions related to residues)**

18.0 General

When a complaint is received from the importing country or a consignment of fish or fishery product is detained or specific control measures are imposed by the importing countries on food safety grounds such as product contamination with pathogenic micro organisms like *Vibrio cholerae*, *Vibrio parahaemolyticus*, *Salmonella*, *Shigella*, *Staphylococcus*, faecal coliforms etc., or with residues (antibiotic, pesticides, heavy metals like cadmium, mercury etc.), the competent authority (EIC/EIA) will follow the procedure as given below.

Immediately on receipt of information regarding rejection of a cargo by overseas health authorities in any importing country the exporter concerned will inform the concerned EIA of the same (in case of a Merchant exporter, a copy of the communication will also be sent to the manufacturer/ processor).

18.1 Complaint shall be immediately referred to the concerned EIA by EIC. EIC may simultaneously seek complete details from the complainant.

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

- frequency of monitoring visit will be increased to 4 visits/month
- next 10 consecutive consignments will be verified by an EIA officer and only after clearance from EIA based on satisfactory test results will the consignments be allowed for export to EU. However if the consignment fails for any of the parameters tested, the consignment may be retested code-wise on request from the exporter/ manufacturer and only those codes found positive on retest will not be allowed for export. Frequency of inspection and testing by EIA for non-EU consignments will be one in four till such time 10 consecutive consignments to EU or 5 to non-EU are cleared.
- The increased monitoring frequency (i.e.4 visits / months) shall be discontinued if all the four monitoring visit reports and test reports are found satisfactory.
- For any unsatisfactory performance the increased frequency will be continued till such time, two consecutive satisfactory performances are achieved.

Note : Charges @ Rs.2000/- per visit for the additional monitoring visits will have to be borne by the processor. Cost of testing of 10 consignments for EU as well as those for Non-EU, and retesting if any, will also be borne by processor as per clause 17(2). However, deputation charges will not be levied in case consignments are inspected during monitoring visits.

18.2.A *In case of rejection due to residues, instead of the above procedure (other than placing the unit on alert), 3 consecutive day codes will be tested with specific reference to the residue for which the earlier consignment was rejected in the importing country. There will be no additional monitoring visit.*

A composite sample each from three different codes as close as possible to the code(s) of the rejected consignment shall be tested for the specific contaminant at EIA lab, CIFT lab or any EIC approved labs. As far as possible samples from same type of product shall be drawn. If any of the day codes fails to meet the requirements, 5 more day codes shall be tested again for residual parameters including the

specific contaminant(s) in two different approved labs. The codes found positive will not be permitted for export.

Note: *In such cases, the concerned Exporter/Processor will bear the cost of testing only as there will be no additional monitoring*

18.2 B In case of any complaint received against a non EU approved unit due to failure of microbiological factors, next 10 consecutive consignments will be tested by EIA prior to the shipment.

18.3 EIA shall collect complete information from the processor as given below

- a) Full particulars of the consignment such as product name, quantity, code/grade list along with attested copies of related documents such as purchase order/letter of credit, certificate for export, health certificate, bill of lading, test reports etc. and also source of raw materials used for processing & export. (Details regarding prices need not furnished by the exporter/processor).
- b) Details of whereabouts of the consignment.
- c) The particulars of fish & fishery products held in stock by the processor.
- d) 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.

18.4 EIA shall arrange an immediate visit (within a week) to the processing unit for

- collection of information (as given at **18.3** above), in case the same has not been received.
- assessment of the processing establishment to determine the cause of contamination.

Assessment of the processing establishment shall be carried out by a team of officers comprising officials from EIA/EIC/CIFT/Others as may be decided by the competent authority. During the assessment the following will be checked:

- a) The current level of GMP, plant sanitation and personnel hygiene in the processing and primary processing units of the processor.
- b) HACCP implementation

In addition, Sanitation & Hygiene control samples, raw material samples and in-process samples may be drawn as applicable and

tested in EIA laboratory for assessing the general hygienic condition of the unit and to determine if the specific contaminant is present.

In case of rejection due to residues, the assessment of processing unit will be done in relation to the specific contaminant to determine its cause. This will include audit of the HACCP implementation including raw material control with the specific purpose of assessment in relation to the cause of rejection.

During assessment, it may be necessary to assess GMP and personal hygiene with specific reference to the cause of rejection. It may not be necessary to have a fresh assessment related to infrastructure facilities and other aspects of HACCP. Sanitation and hygiene control samples, additives etc. need only to be tested in relation to the specific cause of rejection.

18.5 The processor shall carry out an investigation and the causes/sources of the contamination determined by the processor and the action taken by the processor to prevent recurrence of the contamination to be examined.

18.6 Based on the assessment, the team shall prepare a detailed report and submit to the Head Office of the EIA. This report shall contain the following information:

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

- h) Findings on the possible reasons for complaint.

In case of rejection due to residues the assessment report will only relate to those of above checks which specifically relate to cause of rejection.

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

18.7 Dealing with returned consignments

18.7.1 If the consignment has been brought back to India, it shall be stored in an approved storage. The processor shall inform the details of storage where these consignments are stored to the concerned EIA office, who in turn shall inform EIC also.

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

- (a) The local office of EIA shall arrange to get the consignment inspected/tested. One composite sample each from every production code shall be tested for the specific contaminant at two different laboratories. For this purpose, testing shall be done at EIA Lab, CIFT lab or EIC approved lab. The results of tests shall be communicated to the Head Office of the EIA. Testing fee, as applicable, shall be charged to the processor as per clause 17(2).
- (b) If all the samples tested from the brought back consignment show negative results for the contaminant, the concerned EIA In-charge may take decision to release the consignment for export.

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

- (c) If any of the samples tested from the consignment brought back on account of food safety complaint shows positive results, the processor shall reprocess or destroy the consignment in a manner acceptable to the Incharge of EIA concerned.
- (d) The schedule of reprocessing shall be furnished to the local Office of EIA by the processor for arranging supervision of reprocessing.
- (e) The processor shall offer the reprocessed consignment for inspection by EIA.
- (f) EIA shall inspect the reprocessed products code wise for all parameters as per the sampling plan annexed. **(Annexure XVI -Pg.160-163)**

- (g) The fee for EIA supervision with regard to reprocessing shall be Rs.2000/- 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: *As no reprocessing is possible in case of rejection due to residues, supervisory fees will not be applicable.*

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

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

18.8 If the following points are satisfactory:

- a) The consignment if brought back, on account of the complaint and tested for the contaminant is found free of the contamination/ defects as evidenced by test reports/organoleptic reports.
- b) The assessment report indicates that the processing establishment has been maintaining proper hygienic conditions and implementing HACCP.
- c) The periodical monitoring conducted by EIA during the past three months indicates satisfactory hygienic conditions in the unit.
- d) Samples tested during the assessment visit passes.

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

The concerned EIA shall reduce the number of monitoring visits to once in a month, provided at least one month has elapsed since 'On alert' was imposed by EIA on the unit and at least 4 weekly monitoring visits have been carried out. It may be noted that the unit will continue to be 'On alert' even if recommendation to foreign health authority as above is made and revocation of 'On alert' would be considered only after 10 consecutive consignments have passed

and monitoring/supervisory visits during the period are satisfactory. Revocation of 'On alert' would be done with the approval of the Director (I&QC).

However in case of rejection due to Residues the 'On Alert' on the unit will be lifted with approval of Director, EIC once three day codes have been tested and passed by the concerned EIA (see 18.2.A above) and all the requirements mentioned at the above a,b,c,d of clause 18.8 are satisfactory

18.9

However, if any of the above points are unsatisfactory, i.e.

- (i) The consignment, if brought back, is on testing found to be contaminated /defective;
 - (ii) The assessment report indicates unsatisfactory hygienic conditions in the unit;
 - (iii) Samples drawn during assessment visit fail;
- (a) Production and export to all countries shall be stopped till causes of contamination are properly identified and corrective actions taken to prevent recurrence.
- (b) Processor to show cause within 10 days why the approval granted to the establishment may not be withdrawn in the light of the complaint and the findings.

18.9.1

Once the processor informs the EIA that 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 competent authority is satisfied about the rectification of the deficiencies after verification, and with the approval of the Director (I&QC).

18.9.2

If the Competent Authority is not satisfied with the reply of the processor as at **18.9(b)** above, or with the corrective action taken, and verified as at **18.9.1** above, the approval granted to the establishment may be withdrawn.

18.9.3

After resumption of production, an officer, not below the rank of Technical Officer shall be deputed to such units for a minimum period of 10 days extendable up to 30 days to continuously strictly 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 at the rate of Rs.2000 per day (if working is more than 1 shift, all shifts should be covered at random).

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

18.9.4 In such cases, after resumption of production, the next 10 consecutive consignments for EU and one in four for Non-EU till such time 10 consecutive consignments are cleared shall be got tested and cleared by the concerned EIA. The testing of non-EU consignments shall be done till 10 EU consignments are cleared or total of 5 non-EU consignments are cleared, whichever is earlier. Cost of testing shall be borne by the processor. Only after a clearance from the said EIA, based on satisfactory test results, the consignment produced by that establishment shall be allowed for export.

Note: In case of rejection due to Residues, 3-day codes shall be tested.

If any of the day codes fails to meet the requirements, 5 more day codes shall be tested again for residual parameters including the specific contaminant(s) in two different approved labs. The codes found positive will not be permitted for export

18.9.4 A In case of any complaint received against a non-EU approved unit due to failure of microbiological factors, after resumption of production, next 10 consecutive consignments will be tested by the EIA prior to shipment. Fees for such instances shall be charged as per clause **17(2)** .

18.9.5 The unit shall be taken off from the "ON ALERT" list only after monitoring and testing of consignments are found satisfactory as per cl. 18.9.3 & 18.9.4.

18.9.6 The above modified complaint handling procedure, with the following changes shall also be applicable to complaints received on account of quality defects such as Spoilage and other organoleptic defects.

(a) Consignments meant for EU and Non EU will be inspected code wise for organoleptic and bacteriological factors. Samples are drawn for testing TVB-N and TMA-N, however, no additional monitoring is required. (**Refer Clause 18.2**)

(b) The returned consignment shall be inspected by EIA for all organoleptic factors. For this purpose, each production code of the returned consignment shall be treated as a lot and samples drawn as per the sampling scale (**Annexure-XVI Pg.160-163**) touching all the grades. The grade(s) of the particular production code(s) found conforming to the specification shall be permitted for export to countries other than the country or union of countries where the consignment had originally got rejected. The defective grade(s) of the particular production code(s) shall be destroyed or re-processed as per clauses 18.7.2(c) to (h). If the organoleptic evaluation of the returned consignment or the re-processed material reveals any doubt as to the freshness of the product, the same shall be tested for all bacteriological factors, TVB-N and TMA-N. The cost of testings shall be borne by the processor (**Refer clause 18.7.2**)

- (c) In such cases, the concerned processor/exporter will be charged Rs. 1000/- per consignment for conducting the organoleptic inspections mentioned above and also the required fee for testing microbiological and other chemical factors.

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

19. Appeal

Any person aggrieved by :

- a) Decision of the competent authority not to accord approval to the establishments/factory vessels 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 14 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 ‘

- 19.1 At least two-thirds of the total membership of the Appellate Authority shall consist of non-officials.
- 19.2 The quorum for any meeting of the Appellate Authority shall be three.
- 19.3 The appeal shall be disposed of within 30 days of its receipt.
- 19.4 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, EIAs may make a suitable recommendation to EIC for decision by Director (I&QC).

APPLICATION FOR APPROVAL

From

.....

To
 Export Inspection Agency-

Sir,

Please carry out the assessment of our establishment/factory vessel as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 for processing of fish & fishery products for export to European Union/Non-EU countries.

We furnish below the information regarding the facilities existing in our establishment/factory vessel.

We undertake that our establishment/factory vessel 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 bearing No. dated
 ... for Rs.2000/- towards the application fee.

1. General Information

- 1.1. Name and address of the Establishment/Factory Vessel seeking approval
- 1.2. Name and Addressed of the Registered office
- 1.3. Name of the Chief Executive (MD/Mg. Partner/Proprietor)
- 1.4. Is the processing plant/Factory Vessel owned or leased by the applicant Owned/leased
- 1.5. If leased, name of the plant owner, plant name and address.
- 1.6. Year of Construction
- 1.7. Year of last major alteration
- 1.8. Approval requested for export to (Countries) European Union
Countries other than EU.
- 1.9. Scope of approval applied for Fresh /Chilled F&FP

Raw Frozen F&FP
(IQF/Block Frozen/ IF)/ Blanched
/Cooked / Freeze dried/
Any other Item

- 1.10. Additional activities, if any
- 1.11. Annual production during the previous year
 - (a) Fishery Products
 - (b) Others (specify)
- 1.12. Total exports during the previous year
 - (a) Destination
 - (b) Quantity in Kg.
 - (c) FOB Value
- 1.13. Whether all year production or seasonal production
- 1.14. No. of working hours per day
- 1.15. No. of working days per week

2. Information on Structure of the Establishment

- 2.1. No. of pre-processing facilities / units
- 2.2. Whether pre-processing facilities integrated to the main establishment?
- 2.3. If separate, give address(es) and distance from the establishment
- 2.4. Whether the separate pre-processing facilities are/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?
- 2.8. Does the 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 used? (Block, tube etc.)
- 2.12. What is the total capacity of the ice plant(s) owned by the establishment (including flake ice making facility, if any)?
- 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)?
- 2.17. a Number and capacity of the chill room(s)
b Number and capacity of the cold/Frozen Storage(s)
- 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 establishment has for transportation of raw material, finished products, ice and water (if applicable) No., capacity and registration number of :
(a) Refrigerated Vehicle
(b) Insulated Vehicles
(c) Non-insulated Vehicles

(d) Three wheelers
(e) Water Tanker
- 2.24. Does the establishment hire outside vehicles ? (Give details)
- 3. Information about personnel**
- 3.1. No. of technologists available in the establishment
- Number Capacity Regn. No.

- 3.2. Name and qualification of the technologist(s) supervising the processing and related operations
- 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

4. Raw Material

- 4.1 Are the raw material sea caught, aquacultured or both
- 4.1(a) Source of Raw Material
- 4.1(b) Particulars of the fishing vessel(s)
- 4.2. Specify the location of the landing centre(s)
- 4.2(a). Name and address of aquaculture farm from where raw materials are received.
- 4.2 (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 4 degree centigrade during procurement / transportation and receiving at the unit
- 4.5 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 industrial contaminants.
- 4.6. Are the raw materials being tested for bacteriological/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

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 establishment, 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 off 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 permanent nature?

6.2. Is the design and layout such as to preclude contamination?

- 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. Whether there is separate facility for 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?
- 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

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?

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?
- 9.9. Whether air curtain are 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 side ways?
- 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 Equipments

- 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 & disinfectable?
- 19.3. Is any rusted galvanised iron vessel, bamboo baskets, wiremesh containers, enamelled 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 0 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 Section

21.1. Are there signboards directing the employees to wash and sanitise 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?

21.4. Is the pre-processing section well separated from other sections?

21.5. Whether water from the Tables are directly drained to the drainage?

21.6. Whether tables are provided with running water system?

21.13. Tables, Utensils and Equipment

21.13.1. Are the work table tops constructed of stainless steel or any other non-corroding, non-contaminating, non-reacting and non-absorbent material (specify)?

21.13.2. Are the tables so constructed and installed that the top and under surface can be easily cleaned?

21.13.3. Are the table tops smooth, free from corrosion, pits and crevices and can be cleaned easily?

21.13.4. 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?

21.13.5. Are they easily cleanable?

22. Processing Section

- 22.1. Are there signboards directing the employees to wash and sanitise 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?

22.14 Flow of Work

- 22.14.1 Is the layout of workflow unidirectional?
- 22.14.2 Is there any chance of cross contamination/ backtracking?
- 22.14.3 Is the high risk area, if any, precluded from low risk area?
- 22.14.4 Are there separate workers for low risk and high risk areas, if the processing condition warrants such arrangements?

23. Water and Ice

- 23.1. Is there a documented water management system?
- 23.2. Whether plumbing diagram of the water supply system available with the outlets identified and serially numbered?

- 23.3. What is the source of water?
- 23.4. Whether potability certificate produced for each source of water as per specification ?
- 23.5. If more than one source of water supply is used, are they tested separately?
- 23.6. Whether water used for processing meets the standards stipulated in EC Directive No. 98/83/EC or IS: 4251
- 23.7. Whether relevant test records available?
- 23.8. If non-potable water is used, is there any cross connection of potable and non-potable water?
- 23.9. Are the water pipes of potable and non-potable water distinguished by different colour codes?
- 23.10. Is the water used for processing chlorinated to the accepted levels?(less than 2ppm)
- 23.11. What is the system of chlorination?
- 23.12. Whether water used for cleaning equipment, floors, etc. is of potable quality?
- 23.13. Is there a water treatment plant?
- 23.14. If so, is it adequate to provide sufficient quantity of water for processing?
- 23.15. If hoses are used as outlet for water whether non-return valves are fitted to the taps to prevent contamination through back suction?
- 23.16. Is there a water storage tank and if so, whether it is protected from outside contamination?
- 23.17. Is there easy access to the water tank for cleaning?
- 23.18. What is the capacity of the water storage tank(s)?
- 23.19. Is the water supply sufficient in relation to the maximum daily production?

- 23.20. What is the frequency of cleaning & disinfestations of the water tanks?
- 23.21. Whether there is a documented procedure for cleaning water tank(s)?
- 23.22. Is water brought from external source in mobile water tankers?
- 23.23. If so, are the water tankers cleaned and disinfected periodically; what is the frequency?
- 23.24. Whether there is documented procedure for water tanker cleaning?
- 23.25. Is the ice used made from potable water as per norms? (To be supported by document)
- 23.27. Is there adequate facility for hygienic handling and storage of ice?
- 23.28. If ice is obtained from different sources, are they tested separately and records maintained?

24. Salt/Chemicals/Additives

- 24.1. If salt is used in processing, is it tested for the presence of Staphylococci and Sulphite reducing Clostridium and records maintained thereof?
- 24.2. If any other additive/chemical is used in processing, is it approved by the competent authority?
- 24.3. Are records maintained regarding the traceability and purity of additives/chemicals used in processing?
- 24.4. Whether fishery products are tested for heavy metals, antibiotics, pesticide residues and biotoxins and other chemicals and records maintained?
- 24.5. Does the HACCP Plan suitably address these requirements?

25. Freezing

- 25.1. Type of freezing employed
 - a) Tunnel freezing
 - b) Contact freezing
 - c) I Q F
 - d) Any other types (Specify)
- 25.2. Is the freezing method employed appropriate to product requirements?
- 25.3. Total number of freezers and their individual capacities?
- 25.4. Is the freezing capacity adequate for production requirements?
- 25.5. Are the gauges and thermometers in working order?
- 25.6. Are they of required accuracy, calibrated at specified intervals and record thereof maintained?
- 25.7. Time taken for reducing the core temperature of the product to -18°C or below?
- 25.8. Is a log book maintained for freezers?
- 25.9. Is there a prescribed procedure/ schedule for maintenance, cleaning and disinfections of freezers?

26. Packaging and Storage

- 26.1. Is separate area provided for packing?
- 26.2. Does the packing room have rodent control system?
- 26.3. Is the capacity of cold storage adequate?
- 26.4. Is cold storage provided with self recording thermograph?
- 26.5. Is the thermograph calibrated at laid down frequency?
- 26.6. Is the sensor of the thermograph located at the warmest place away from diffuser?

- 26.7. Are the thermograph records maintained properly for verification?
- 26.8. Are the sides and floors of cold storage provided with facilities made of non-corroding and non-contaminating material for air circulation?
- 26.9. Is the floor of the cold storage waterproof, easy to clean and disinfect?
- 26.10. Is there adequate lighting with protective covers?
- 26.11. Is there any frost or ice formation on the walls, ceilings or stored material?
- 26.12. Is the store provided with alarm bell?
- 26.13. Whether cold storage has proper defrosting system?
- 26.14. Is there air curtain or blinds at the entrance of ante-room and cold storage?
- 26.15. Is an ante-room of suitable size provided and maintained properly?
- 26.16. Are the cold storage workers provided with clean protective clothing?
- 26.17. Does the documented rodent control system extend to cold store and ante-room also?
- 26.18. Is there separate and suitable room for storage of packing materials?
- 26.19. Is it fly, rodent and vermin proof?
- 26.20. Does the documented rodent control system extend to store for packing material also?
- 26.21. Are the walls clean and free from moisture and fungus?
- 26.22. Are the packing materials stored away from the walls, ceiling in such a way as to allow a person to move around for inspection?
- 26.23. Are the packing material stored without touching the ceiling & walls and are cover properly?

26.24. 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. Toilet Facilities

27.1. Is the number of toilets provided in relation to the total number of workers?

27.2. Are the toilets located away from the processing area to prevent contamination?

27.3. Whether the toilet rooms have walls washable, ceiling smooth and floors constructed of impervious material, and easy to clean and sanitise?

27.4. Are the toilets well lit?

27.5. Are they provided with self-closing doors, fly-proofing and flushing arrangements?

27.6. Are hand washing and sanitizing facilities, with wash-basins, soap, single use towels, nail brushes and adequate water supply provided near the toilets?

27.7. Are the taps of the wash basin foot operable?

27.8. Is waste bin provided for collecting used towels?

27.9. Are there sign boards directing employees to clean and sanitise their hands with soap/detergents/ disinfectants after using toilets?

28. Personal Hygiene

28.1. Has any person been made responsible for maintenance of personal hygiene of employees?

28.2. Are the workers apparently free from any form of communicable diseases, open sores and wounds or any other sources of contamination?

28.3. Are the workers medically examined periodically and whether individual health cards showing that the individual is fit to work in fish processing plant maintained?

28.4. Are prophylactic injections being administered to the plant employees and records thereof included in the individual cards?

28.5. Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhoea or any other communicable diseases in their homes?

28.6. Are workers medically examined after each absence due to illness from any contagious disease?

28.7. Are the workers provided with sufficient sets of clean work dress and headgears?

29. Cleaning and Disinfection of plant, equipment and utensils

29.1. Is there a documented procedure for cleaning and disinfections of plant, equipment and utensils?

29.2. Is the cleaning schedule exhibited prominently?

29.3. Is there an area earmarked for cleaning and disinfection of utensils and equipment?

29.4. Are facilities of cold/hot water/steam under pressure, wherever appropriate, provided for cleaning and disinfection?

29.5. Is any person made responsible for supervising this work ?

29.6. Is the effectiveness of cleaning verified periodically through laboratory tests?

30. Changing Room

30.1. Are separate changing rooms of adequate size proportionate to the number of workers provided for male and female workers?

30.2. Whether changing room is integrated into the plant layout properly?

- 30.3. Does the changing room have smooth walls, floors and wash basins with soaps, disposable towels, nail brushes and non-hand operable taps?
- 30.4. 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
- 30.5. Is there suitable in-house arrangement to launder the working clothes of the workers?
- 30.6. Is the changing room provided with flush lavatories? Is it kept clean and sanitised?
- 30.7. Does the door of the lavatory open directly to processing area?

31. Effluent Treatment

- 31.1. Is the unit having an efficient effluent treatment system?
- 31.2. Does it comply with the statutory requirements?
- 31.3. Does the effluent cause any problem to neighbourhood?

32. Maintenance Schedule

- 32.1. Whether there is a documented maintenance procedure for different sections/equipment/ Machinery, laboratory items etc.
- 32.2. Whether maintenance records are kept?
- 32.3. Whether all the equipment are marked with identification number?

33. HACCP

- 33.1. Has the own check system based on HACCP implemented?

- 33.2. If so, has the HACCP manual been submitted to the competent authority for approval?
- 33.3. Whether all the SSOPs are included in the HACCP manual ?
- 33.4. Whether process flow charts with products description and manufacturing details are given in the HACCP manual ?
- 33.5. Whether Plumbing diagram of water showing serially numbered taps is given in the HACCP manual ?
- 33.6. Whether persons responsible have been identified?
- 33.7. Whether records are maintained for this purpose?
- 33.8. Whether the frequency of monitoring of critical limits at CCP is adequate as evidenced by the actual observation?
- 33.9. Whether breakdowns and malfunctions are recorded?
- 33.10. Whether there is a provision to review and revise procedure and frequency?

34. Rodent/Vermin Control

- 34.1. Is there any documented procedure for vermin control?
- 34.2. Whether responsibility has been fixed for this work?
- 34.3. Whether vermin/rodent control carried out by own arrangement or through outside agency?
- 34.4. Whether bait map showing serially numbered bait stations has been provided?
- 34.5. Whether chemical/rodenticides are approved by the competent authority?

35. Transportation

- 35.1. Is the unit having adequate facilities for transport of raw material and finished products?

- 35.2. If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated boxes are provided?
- 35.3. Are the vehicles insulated/refrigerated?
- 35.4. Are they constructed in such a way to facilitate easy cleaning and sanitisation?
- 35.5. Is there separate arrangement for cleaning and sanitisation of transport vehicles?
- 35.6. Are the records of the above maintained?
- 35.7. Whether such arrangement creates environmental problems?
- 35.8. Are the vehicles cleaned and disinfected periodically?
- 35.9. Whether there is a documented procedure for cleaning the vehicles?
- 36. Inspection and Testing**
- 36.1. Is the unit having in-house facilities for inspection and testing?
- 36.2. Is the unit having separate qualified and competent personnel for conducting physical, chemical and microbiological tests?
- 36.3. Are there separate technologists for supervision of processing and for conducting laboratory tests?

37. Any other relevant information

Yours faithfully,

Signature :

Name :

Designation :

Company Seal :

Place :

Date :

Check list of enclosures

- (1) *Demand Draft for Rs.2000/-*
- (2) Up-to-date layout plan of establishment/factory vessel
- (3) Plumbing diagram
- (4) Organisational Chart of the establishment
- (5) Certified Copy of the legal identify of establishment/factory vessel
- (6) Bio-data of technologist(s)
- (7) Certified copy of Lease Deed, if applicable
- (8) Attested copy of Portability certificate of water and Ice (As per the Directive No.98/83/EC) for EU establishment and as per IS4251 except radiological parameters for Non EU establishment.
- (9) HACCP Plan
- (10) Attested copy of MPEDA Registration Certificate of pre-processing unit/processing plant/storage etc.
- (11) Attested copy of the order allotting Importer-Exporter Code (IEC) Number.
- (12) Attested copy of the consent letter issued by the State Pollution Control Board.
- (13) Guarantee and undertaking

Undertaking

(To be submitted in duplicate on company's letter head alongwith application for approval of processing establishments/factory vessels.)

Ref. No. :

Date:

To

The Export Inspection Agency- -----,
(address)

Sub: Application for approval

Sir,

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

We handle, process, store and transport fishery products 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 hyperchlorinated water or ice with level of free residual chlorine above 2 ppm to wash, dip or spray the fishery products and carry out checks on water and ice in line with EC recommendations (98/83/EC) / or as per IS 4251 (in case of non EU)

Level of additives, where applicable, is monitored in accordance with EC Directive 95/2/EC/or as per the requirements of the importing country.

Yours faithfully,

Signature of Authorised Signatory

Name :

Designation:

Date :

Place:

Strike whichever is not applicable.

Guarantee

(To be submitted in duplicate on company's letter head alongwith application for approval of processing establishments/factory vessels to the concerned EIA)

Ref. No. :

Date:

To

The Export Inspection Agency- -----,
(address)

Sub: Guarantee

Sir,

We hereby guarantee the following:

HACCP system has been established and implemented by us.

No hyperchlorinated water or ice (with a level of free residual chlorine above 2 ppm) is used to wash, dip or spray the fishery products being processed in the establishment.

Checks on water and ice are being carried out in line with EC recommendations (98/83/EC) / or as per IS 4251(in case of non EU) and the results of regular examinations are analysed for corrective action.

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

We will not use raw materials, semi-processed or processed products coming from an unapproved establishment.

Level of additives, where applicable, is monitored in accordance with EC Directive 95/2/EC as per the requirements of the importing country.

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

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

We shall not carry out activities other than those for which we have been specifically approved without prior approval by you.

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

We will not misuse the CFEs issued to us and will maintain proper records of the same.

We are aware that approval granted to our establishment/factory vessel for processing of fishery products may be withdrawn by you in case any of the above guarantees are violated by us.

Place :

Date :

Signature of the
Head of Production

Place:

Date :

Counter signature of Chief Executive Officer
of the approved establishment/factory vessel.

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

**ASSESSMENT REPORT -1
(Establishment / Factory Vessel)**

Date of Visit :

Type of Visit : **Inter Departmental Panel (IDP)**

COMPOSITION OF IDP

Sl.No.	Name of Expert	Designation	Organisation
I.			
II.			
III.			

1. General Information

- 1.1. Name and address of the Establishment/Factory Vessel seeking approval
- 1.2. Name and Addressed of the Registered office
- 1.3. Name of the Chief Executive (MD/Mg. Partner/Proprietor)
- 1.4. Is the processing plant/Factory Vessel owned or leased by the applicant Owned/leased
- 1.5. If leased, name of the plant owner, plant name and address.
- 1.6. Year of Construction
- 1.7. Year of last major alteration
- 1.8. Approval requested for export to European Union
Countries other than EU.
(Countries)
- 1.9. Scope of approval applied for Fresh Chilled F&FP
Raw Frozen F&FP

(IQF/Block Frozen/ IF)/
Blanched / Cooked / Freeze dried
Any other Item

- 1.10. Additional activities, if any
- 1.11. Annual production during the previous year
 - (a) Fishery Products
 - (b) Others (specify)
- 1.12. Total exports during the previous year
 - (d) Destination
 - (e) Quantity in Kg.
 - (f) FOB Value
- 1.13. Whether all year production or seasonal production
- 1.14. No. of working hours per day
- 1.15. No. of working days per week

2. Information on Structure of the Establishment

- 2.1. No. of pre-processing facilities / units
- 2.2. Whether pre-processing facilities integrated to the main establishment?
- 2.3. If separate, give address(es) and distance from the establishment
- 2.4. Whether the separate pre-processing facilities are/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?
- 2.8. Does the 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 used? (block, tube etc.)
- 2.12. What is the total capacity of the ice plant(s) owned by the establishment (including flake ice making facility, if any)?
- 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)?
- 2.17. a Number and capacity of the chill room(s)
b Number and capacity of the cold/Frozen Storage(s)
- 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 establishment has for transportation of raw material, finished products, ice and water (if applicable) No., capacity and registration number of : Number Capacity Regn. No.
(a) Refrigerated Vehicle
(b) Insulated Vehicles
(c) Non-insulated Vehicles

(d) Three wheelers
(e) Water Tanker
- 2.24. Does the establishment hire outside vehicles ? (Give details)

3. Information about personnel

- 3.1. No. of technologists available in the establishment
- 3.2. Name and qualification of the technologist(s) supervising the processing and related operations
- 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

4. Raw Material

- 4.1. Are the raw material sea caught, aquacultured or both

5. Surroundings

- 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 establishment 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 off 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 harbourage 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?
- 6.3. 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 harbourage 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. Whether there is separate facility for 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?
- 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

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?

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?

9.9. Whether air curtain are 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 side ways?

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. Are 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?
- 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 Equipments

- 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?
- 19.3. Is any rusted galvanised iron vessel, bamboo baskets, wiremesh containers, enamelled 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 0 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. Preprocessing Section

- 21.1. Are there signboards directing the employees to wash and sanitise 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?
- 21.4. Is the pre-processing section well separated from other sections?
- 21.5. Whether water from the Tables are directly drained to the drainage?
- 21.6. Whether tables are provided with running water system?

22 Tables, Utensils and Equipment

- 22.1. Are the work table tops constructed of stainless steel or any other non-corroding, non-contaminating, non-reacting and non-absorbent material (specify)?
- 22.2. Are the tables so constructed and installed that the top and under surface can be easily cleaned?

- 22.3 Are the table tops smooth, free from corrosion, pits and crevices and can be cleaned easily?
- 22.4 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?
- 22.5 Are they easily cleanable?

23. Processing Section

- 23.1. Are there signboards directing the employees to wash and sanitise hands and feet before entering the processing hall and after each absence?
- 23.2 Is air curtain/fly killer provided to prevent the entry of flies when the door is opened?
- 23.3 Is the processing hall is so designed to have easy flow of work?
- 23.4 Is the processing hall has sufficient lighting & ventilation?
- 23.5 Is it having sufficient tables made of non-corrosive, non-absorbent materials?
- 23.6 Whether cooking, blanching, pasteurisation etc. are being done in the factory?
- 23.7 If so, are the time/temperature controls properly validated by an approved Agency?

24 Flow of Work

- 24.1 Is the layout of work flow unidirectional?
- 24.2 Is there any chance of cross contamination/ backtracking?
- 24.3 Is the high risk area, if any, precluded from low risk area?

24.4 Are there separate workers for low risk and high risk areas, if the processing condition warrants such arrangements?

25. Water and Ice

25.1. Is there a documented water management system?

25.2. Whether plumbing diagram of the water supply system available with the outlets identified and serially numbered?

25.3. What is the source of water?

25.4. Whether potability certificate produced for each source of water as per specification ?

25.5. If more than one source of water supply is used, are they tested separately?

25.6. Whether water used for processing meets the standards stipulated in EC Directive No. 98/83/EC?

25.7. Whether relevant test records available?

25.8. If non-potable water is used, is there any cross connection of potable and non-potable water?

25.9. Are the water pipes of potable and non-potable water distinguished by different colour codes?

25.10. Is the water used for processing chlorinated to the accepted levels?(less than 2 ppm)

25.11. What is the system of chlorination?

25.12. Whether water used for cleaning equipment, floors, etc. is of potable quality?

25.13. Is there a water treatment plant?

25.14. If so, is it adequate to provide sufficient quantity of water for processing?

25.15. If hoses are used as outlet for water whether non-return valves are fitted to the taps to prevent contamination through back suction?

- 25.16. Is there a water storage tank and if so, whether it is protected from outside contamination?
- 25.17. Is there easy access to the water tank for cleaning?
- 25.18. What is the capacity of the water storage tank(s)?

26. Salt/Chemicals/Additives

- 26.1. Does the HACCP Plan suitably address the purity and other requirements of salt/chemicals/additives?

27. Freezing

- 27.1. Type of freezing employed
a) Tunnel freezing
b) Contact freezing
c) I Q F
d) Any other types (Specify)
- 27.2. Is the freezing method employed appropriate to product requirements?
- 27.3. Total number of freezers and their individual capacities
- 27.4. Is the freezing capacity adequate for production requirements?
- 27.5. Are the gauges and thermometers in working order?
- 27.6. Are they of required accuracy, calibrated at specified intervals and record thereof maintained?
- 27.7. Time taken for reducing the core temperature of the product to -18°C or below?
- 27.8. Is a log book maintained for freezers?
- 27.9. Is there a prescribed procedure/ schedule for maintenance, cleaning and disinfection of freezers?

28. Packaging and Storage

- 28.1. Is separate area provided for packing?

- 28.2. Does the packing room have rodent control system?
- 28.3. Is the capacity of cold storage adequate?
- 28.4. Is cold storage provided with self recording thermograph?
- 28.5. Is the thermograph calibrated at laid down frequency?
- 28.6. Is the sensor of the thermograph located at the warmest place away from diffuser?
- 28.7. Are the thermograph records maintained properly for verification?
- 28.8. Are the sides and floors of cold storage provided with facilities made of non-corroding and non-contaminating material for air circulation?
- 28.9. Is the floor of the cold storage waterproof, easy to clean and disinfect?
- 28.10. Is there adequate lighting with protective covers?
- 28.11. Is there any frost or ice formation on the walls, ceilings or stored material?
- 28.12. Is the store provided with alarm bell?
- 28.13. Whether cold storage has proper defrosting system?
- 28.14. Is there air curtain or blinds at the entrance of ante-room and cold storage?
- 28.15. Is an ante-room of suitable size provided and maintained properly?
- 28.16. 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. Is there separate and suitable room for storage of packing materials?
- 28.19. Is it fly, rodent and vermin proof?

28.20. Does the documented rodent control system extend to store for packing material also?

28.21. Are the walls clean and free from moisture and fungus?

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 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 sanitise?

29.4. 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 foot operable?

29.8. Is waste bin provided for collecting used towels?

29.9. Are there sign boards directing employees to clean and sanitise 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?

31. Cleaning and Disinfection of plant, equipment and utensils

31.1. Is there a documented procedure for cleaning and disinfections of plant, equipment and utensils?

31.2. Is the cleaning schedule exhibited prominently?

- 31.3. Is there an area earmarked for cleaning and disinfection of utensils and equipment?
- 31.4. Are facilities of cold/hot water/steam under pressure, wherever appropriate, provided for cleaning and disinfection?
- 31.5. Is any person made responsible for supervising this work ?
- 31.6. Is the effectiveness of cleaning verified periodically through laboratory tests?

32. Changing Room

- 32.1. Are separate changing rooms of adequate size proportionate to the number of workers provided for male and female workers?
- 32.2. Whether changing room is integrated into the plant layout properly?
- 32.3. Does the changing room have smooth walls, floors and wash basins with soaps, disposable towels, nail brushes and non-hand operable taps?
- 32.4. 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
- 32.5. Is there suitable in-house arrangement to launder the working clothes of the workers?
- 32.6. Is the changing room provided with flush lavatories? Is it kept clean and sanitised?
- 32.7. Does the door of the lavatory open directly to processing area?

33. Effluent Treatment

- 33.1. Is the unit having an efficient effluent treatment system?
- 33.2. Does it comply with the statutory requirements?

33.3. Does the effluent cause any problem to neighbourhood?

34. Maintenance Schedule

34.1. Whether there is a documented maintenance procedure for different sections/equipment/ Machinery, laboratory items etc.

34.2. Whether maintenance records are kept?

34.3. Whether all the equipment are marked with identification number?

35. HACCP

35.1. Whether the, HACCP manual has been submitted to the competent authority for approval?

35.2. Whether persons responsible have been identified?

36. Rodent/Vermin Control

36.1. Is there any documented procedure for vermin control?

36.2. Whether responsibility has been fixed for this work?

36.3. Whether vermin/rodent control carried out by own arrangement or through outside agency?

36.4. Whether bait map showing serially numbered bait stations has been provided?

36.5. Whether chemical/rodenticides are approved by the competent authority?

37. Transportation

37.1. Is the unit having adequate facilities for transport of raw material and finished products?

37.2. If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated

boxes are provided?

- 37.3. Are the vehicles insulated/refrigerated?
- 37.4. Are they constructed in such a way to facilitate easy cleaning and sanitisation?
- 37.5. Is there separate arrangement for cleaning and sanitisation of transport vehicles?
- 37.6. Are the records of the above maintained?
- 37.7. Whether such arrangement creates environmental problems?
- 37.8. Are the vehicles cleaned and disinfected periodically?
- 37.9. Whether there is a documented procedure for cleaning the vehicles?

38. Inspection and Testing

- 38.1. Is the unit having in-house facilities for inspection and testing?
- 38.2. Is the unit having separate qualified and competent personnel for conducting physical, chemical and microbiological tests?
- 38.3. Are there separate technologists for supervision of processing and for conducting laboratory tests?

39. Any other relevant information

Recommendations of the Inter Departmental Panel (IDP)	
<u>Name of the Establishment/Factory Vessel</u>	
Location	

<u>Processor Code No., If any already allotted by EIA</u>	
<u>Nature of activities of the unit</u>	Pre-processing Freezing of raw/cooked/blanched F&FP Packing of Fresh / Chilled F&FP Cold (Frozen) Storage Freeze Drying Others (Specify)
The above processing Establishment/Factory Vessel may not be approved to process 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.	
Or	
The above processing Establishment/Factory Vessel may be approved on conditional basis to 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.	
<u>Countries to which the above unit is eligible to process fishery products for export</u>	All countries including the European Union (EU) Countries other than EU.
<u>Fishery Products which may be allowed to be processed in the above unit</u>	Shrimps and other crustaceans Cephalopods Fish Others (Specify)
<u>Operational freezing capacity of the unit</u>	
<u>Other remarks, if any:</u>	

Signature

Name

Designation

Organization

Date

NON -CONFORMITY REPORT

Name of the Unit :

Signature

Name

Designation

Organization

Date

Fully agree with the observations /recommendations of the IDP

Signature (representative of the unit)

Name

Designation

Date

Seal of the firm

AUDIT / SURVEY REPORT

Name of the establishment with approval no.		Opening Meeting Location			
		Date:			
Type 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 Establishments with approval No.	
Address-Registered office	
Address- Establishment	
Documents Reviewed and Amended a) Quality Manual b) Document No. c) Issue No. d) Review Date	
Reviewed by	
Reviewed on	
Scope of revision	
Whether Statuary and Regulatory requirements are complied with	
Place: Date:	

GENERAL REVIEW REPORT

S.no.	System Followed	Observations
1.	Quality Management System of the Establishment	
1.1	General requirements	
1.2	Documentation Requirements	
1.3	Quality Policy	
1.4	Quality Objectives	
1.5	Quality Management System Planning	
1.6	Customer Focus	
2.	Responsibility, Authority and communication	
2.1	Management responsibly	
2.2	Management commitment	
2.3	Management Authority	
2.4	Internal Communication	
2.5	Review input and output	
3.	Resources	
3.1	Human resources	
3.2	Infrastructure	
3.3	Provision of resources	
4.	Product Realisation	
4.1	Design and development	
4.2	Product and service provision	
4.3	Validation of process for production	
4.4	Identification and traceability	
4.5	Prevention of contamination	
4.6	Control of monitoring and measuring devices	
4.7	Internal audit	
4.8	Control of non conforming product	
4.9	Analysis of data	
4.10	Improvement	

HACCP AUDIT

Name of the Establishments with approval No.	
Address-Registered office with name of contact person and telephone No:	
Address- Establishment	
Scope of Audit:	
Category of risk	
Name of the auditor(s)	
Organization(s)	
Signature(s)	
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	
3.2	Physical, chemical and microbiological characteristic of the product	
3.3	Shelf life	
3.4	Raw materials and additives used	
3.5	Method of preservation	
3.6	Treatments the product (s) underwent	
3.7	Method of packing	
3.8	Application of regulatory requirements	
3.9	Conditions of storage and distribution	
3.10	Instructions for used of the product	
3.11	Microbiological and chemical criteria applied	

4.	Intended Use	
4.1	Normal or predicted use of the product by the customer	
4.2	Has the intended use(how the product is be consumed)of the product documented(may include method or preservation)?	
4.3	Have the target group(s)of the product been determined	
5.	Process flow diagram(s) and layout plan	
5.1	Whether the flow chart (s) for each product (product group) has been prepaid by the HACCP team and whether the following are addressed?	
5.2	Plant facilities and pre-requisites of HACCP	
5.3	Disposition and pertinent charctestics of the equipment(s)	
5.4	Number and nature of the processing operations	
5.5	Sequence of processing operation	
5.6	Duration and delays between processing operations	
5.7	Pertinent technical data(s) of processing operations	
5.8	Flow of Products	
5.9	Separation of clean and dirty areas (pre-requisite)	
5.10	Technical data of cleaning and sanitation(pre-requisite)	
5.11	Hygienic environment of the facilities (pre-requisite)	
5.12	Hygienic conditions of the personnel (pre-requisite)	
5.13	Circulation flow of personnel (pre-requisite)	
5.14	Condition of product storage (pre-requisite)	
5.15	Condition of product distribution (pre-requisite)	
5.16	Whether yearly verification of the flow chart and layout has been conducted?	

5.17	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 experiances, experimental data (S), 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)	
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 CCPs 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 determined?	

8.5	What is the relevance with the CCPs?	
8.6	Is there a control system for the relevant standards and critical marginal values?	
8.7	Whether the critical limits comply with the regulations and / or recommended by appropriate codes on GMP?	
8.8	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 measuring is implemented and kept up?	
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: <ul style="list-style-type: none"> ▪ 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 concerning the exceeding of the marginal value?	
10.2	Whether identification of corrective actions to implement when monitoring indicates tendency towards the lose of control have been done?	
10.3	Whether identification of corrective actions to implement when monitoring indicates the lose of control have 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 verifications procedures of the establishment.	
11.3	Is 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) Incharge of verification.	
11.6	Validity of the verification procedure.	
11.7	What is the method followed for verification and 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 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	Source of Raw Material	
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 from where raw materials are received.	
1.5	Are the raw materials are procured, transported & stored in smooth containers so designed to prevent contact with melted ice	
1.6	Mode of transportation of raw material from source to pre-processing	
1.7	Are the raw material maintained below 4 degree centigrade during procurement / transportation and receiving at the unit	
1.8	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 industrial contaminants.	
1.9	Are the raw materials being tested for bacteriological/chemicals/ antibiotics contaminants at laid down frequency and the same is addressed in the HACCP manual?	
1.10	Is there any arrangement for traceability of the raw material up to procurement area? (Give detail)	
1.11	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 portable water and ice for the production of F&FP as per operational freezing 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 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 If salt is used in processing, is it tested for the presence of Staphylococci and Sulphite reducing Clostridium and records maintained thereof?
- 3.2 If any other additive/chemical is used in processing, is it approved by the competent authority?
- 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 biotoxins 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 transportations?

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 the cold storages hygienically?

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 material stored without touching the ceiling & walls and are cover properly?

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?

6 Hygiene & Sanitation

6.1 Are the hygiene & sanitation practices adopted by the unit satisfactory?

6.2 Are the walls, floor, doors, tables, utensils etc. kept clean?

6.3 Whether a documented cleaning procedure followed?

- 6.4 Are the workers apparently free from any form of communicable diseases, open sores and wounds or any other sources 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, diarrhoea 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 method 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?

Recommendations of the Inter Departmental Panel (IDP)	
Name of the Establishment/Factory Vessel	
Location	
Processor Code No.	
Nature of activities of the unit	
<p>In view of the deficiencies observed in the HACCP implementation as mentioned in the observation sheet, it is recommended that full approval to process F&FP for export under the Export of Fresh, Frozen and Processed Fish & Fishery Products (Quality Control, Inspection & Monitoring) Rules, 1995 may not be given to the above establishment/factory vessel. 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 IDP.</p>	
Or	
<p>In view of the satisfactory assessment of the implementation of HACCP and other statutory requirements by the unit, it is recommended that the above processing Establishment/Factory Vessel may be fully approved to 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.</p>	
Countries to which the above unit is eligible to process fishery products for export	<p>All countries including the European Union (EU)</p> <p>Countries other than EU.</p>
Operational freezing capacity of the unit	

Signature

Name

Designation

Organization

Date

Fully agree with the observations /recommendations of the IDP

Signature (representative of the unit)

Name

Designation

Date

Seal of the firm

Annexure –IVC

REQUIREMENTS FOR APPROVAL OF ESTABLISHMENT/ FACTORY VESSEL 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 immediate surrounding 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.
- 2.3 The lay out 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 rodent, insects, birds etc.
- 2.7 All the entry points shall have suitable air curtains or other suitable arrangements to prevent the entry of flies.
- 2.8 Wood shall not be used in the factory, except inside the cold storage.
- 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 wash basins shall be provided with foot operated taps or non-hand operable taps.
- 4.3 Liquid soaps, disinfectants, nail brushes, single use towels / hand dryers etc. shall be provided in sufficient quantities at all entry points.
- 4.4 Waste bins provided for collecting used towels shall be of foot-operated type.

5. Ceiling walls and floors.

- 5.1 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. The floor shall have sufficient slope opposite to the flow of work or side ways.
- 5.2 The wall to floor and wall-to-wall junctions shall be rounded off to facilitate easy cleaning.
- 5.3 The walls should be durable, smooth, light coloured and easy to clean and disinfect.
- 5.4 The walls should not have projections and the entire fitting 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.
- 5.5 The ceiling shall be free from cracks and open joints and shall be smooth and easy to clean.
- 5.6 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 where 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, equipments and machineries

- 8.1 All the utensils and equipments shall be made of non-corrodible material and shall be smooth with out 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 with out falling on the floor.
- 8.4 Freezing equipments shall be suitable to freeze fishery products and shall to achieve the required core temperature within the stipulated time. The equipments shall be fitted with necessary gauges to indicate the temperature, pressure etc. The recording devices shall be calibrated at specified intervals.

9. Chill rooms and cold storages.

- 9.1 Chill rooms having 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 (for non-EU establishment adequate number of insulated boxes for storing raw materials shall be permitted in place of chill rooms).
- 9.2 The cold storage shall have suitable refrigeration system to maintain the product temperature below -18°C.
- 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 should be minimized so as to ensure that the product temperature of the material stored may 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.
- 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. 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 cleaning schedule and rodent control system for both anterooms and 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.

10. Change rooms and toilets

- 10.1 Adequate number of change rooms separately for male and female workers shall be provided for processing and pre-processing sections.
- 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 washbasin provided with adequate soap, nail brushes and single used towels. There shall be a foot operated waste bin to collect the used towels.
- 10.6 There shall be lockable cupboards and facility for keeping gumboots, shoes and chappals inside the change room.
- 10.7 Suitable arrangements shall be made by the establishment to launder the working clothes of the workers.

11. Store rooms.

- 11.1 There shall be separate stores for wet and dry items and the chemicals/ disinfectants should be properly labelled.
- 11.2 Packing material store shall be of adequate size with proper fly and dust proofing system
- 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.
- 11.4 Pest and rodent control measures shall also extend to the storerooms.

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 or IS : 4251 as the case may be.
- 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 and cleaned regularly.
- 12.5 The taps having hose connections shall be fitted with non- return valves

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 or IS : 4251)
- 13.2 The ice plant which is not integrated to main establishment, shall have to be approved by the Competent Authority.

Personal Hygiene

- 14.1 The employees engaged in processing activities shall be free from communicable diseases, open sores and wounds.
- 14.2 They shall be medically examined periodically and shall maintain individual health cards issued by an approved medical officer showing 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.
- 15.2 The testing 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 before loading and after unloading and the records maintained thereof.

17. Maintenance.

17.1 There shall be a documented procedure for maintenance of all sections, equipments, machineries etc.

17.2 The machineries/ equipments shall be marked with suitable identification numbers.

EXPORT INSPECTION AGENCY – _____

No. EIA/

Date : _____

To

--

Dear Sirs,

Sub: Non approval to process fishery products for export to EU/Non-EU.

Ref: Your application dated _____.

The Inter Departmental Panel (IDP) of experts visited your processing establishment, 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 read with the additional requirements communicated vide letter No. EIC/D(Q/C)/T-1/97 dated 8.9.97 for processing of fish and fishery products for export to the European Union/Non-EU countries:

Name & Location of the Establishment	Date of IDP Visit

The IDP has observed certain defects/deficiencies in your processing establishment which are given in the annexure. In view of the nature of defects/deficiencies, it is regretted that your processing establishment cannot be now approved to process fishery products for export to EU/Non-EU countries.

You may, however, rectify all the defects/deficiencies, ensure that your processing establishment meets the above mentioned requirements and apply for approval afresh.

Please acknowledge receipt.

Yours faithfully,

Joint Director I/C

Encl: 1 Annexure

- Copy to: (1) The Officer In-charge
EIA-_____, Sub Office: _____
(2) The Director (I&Q/C), EIC, New Delhi –110 001

**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.

Madam,

Sub: Approval of establishments to process fishery products for export to the European Union (EU).(conditional /full approval)

The following unit(s) has/have been adjudged by the Inter Departmental Panel (IDP) as having adequate facilities and recommended for approval to process fishery products for export to the EU 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 & Address of the Unit / Its Registered Office	Approval Number Proposed	Nature of activities	Category
			Freezing of raw fish & fishery products. -- / -- / ---	PP/PPa/ZV

As the IDP has recommended approval for the above unit(s), it may kindly be granted approval and included in the list of establishments approved to process fishery products for export to the EU on conditional basis/ full approval basis

The copy of the IDP report(s) is enclosed for kind reference.

Yours faithfully,

()
JOINT DIRECTOR I/C

Encl: As stated

(Strike which ever not aplicable)

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

No. EIA/

Date:

To

M/S.

Dear Sirs,

Sub: Approval to process fishery products for export to all countries including EU on conditional basis.

Ref: Your application dated

Please refer to your application cited above for approval of your establishment, particulars of which are given below, for processing fish and fishery products 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 establishment	Category	Nature of Activities
	PP/PPa/ZV	

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your establishment to assess the adequacy of the facilities available therein for processing Fresh/Frozen Fish & Fishery Products for export.

After due consideration of the report of the Panel of Experts, your processing establishment 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 for export to all countries including the European Union (EU). The conditional approval granted to your establishment/ factory vessel 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 fishery products meant for export in your establishment. However, the export of F&FP to the EU will be permitted only after the name of your establishment has been notified by the EC. You are requested to inform this office as soon as your establishment start production of F&FP in full swing, so as to arrange the second IDP visit to assess the processing activities and HACCP implementation of your establishment. It shall be ensured that your establishment have production of F&FP at the time of the IDP visit.

The approval number allotted to your establishment is: _____.

The approval number shall be marked on the 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.

This conditional approval is valid for a period up to and including _____. You shall apply for arranging the second assessment visit to your establishment for recommending full approval as soon as you start production of F&FP in the establishment.

Your establishment 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 sub office of EIA-_____ along with a weekly statement.

Please acknowledge receipt.

Yours faithfully,

Copy to :

The Director (Insp. & Q/C) EIC, New Delhi – 110 001.
MPEDA. Regional Office
The Officer-in-charge, (concerned sub office)
Party File (_____)

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

No. EIA/

Date:

To

M/S.

Dear Sirs,

Sub: Approval to process fishery products for export to all Non-EU countries on conditional basis.

Ref: Your application dated

Please refer to your application cited above for approval of your establishment, particulars of which are given below, for processing fish and fishery products 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 establishment	Category	Nature of Activities
	PP/PPa/ZV	

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your establishment to assess the adequacy of the facilities available therein for processing Fresh/Frozen Fish & Fishery Products for export.

After due consideration of the report of the Panel of Experts, your processing establishment 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 for export to Non-EU countries. The conditional approval granted to your establishment/ factory vessel 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 fishery products meant for export in your establishment. You are requested to inform this office as soon as your establishment start production of F&FP in full swing, so as to arrange the second IDP visit to assess the processing activities and HACCP implementation of your establishment. It shall be ensured that your establishment have production of F&FP at the time of the IDP visit.

The approval number allotted to your establishment is: _____.

The approval number shall be marked on the 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.

This conditional approval is valid for a period up to and including _____. You shall apply for arranging the second assessment visit to your establishment for recommending full approval as soon as you start production of F&FP in the establishment.

Your establishment 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 sub office of EIA-_____ along with a weekly statement.

Please acknowledge receipt.

Yours faithfully,

Copy to :

1. The Director, EIC, New Delhi
2. Party file

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

No. EIA/

Date:

To

M/S.

Dear Sirs,

Sub: Approval to process fishery products for export to all countries including EU.

Ref: Your application dated

Please refer to your application cited above for approval of your establishment, particulars of which are given below, for processing fish and fishery products 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 establishment	Category	Nature of Activities
	PP /PPa/ ZV	

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your establishment to assess the adequacy of the facilities available therein for processing Fresh/Frozen Fish & Fishery Products for export.

After due consideration of the report of the Panel of Experts, your processing establishment 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 for export to all countries including the European Union (EU). However, while you may export fish & fishery products to countries other than EU with immediate effect, export to the EU countries shall commence only from the date of EC Notification including your name in the list of establishments. The Competent Authority will also start issuing health certificates for consignments meant for export to the EU only after your name is included in the EC list.

The approval number allotted to your establishment is: _____.

The approval number shall be marked on the 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.

This approval is valid for a period up to and including_____.You should apply for renewal of approval at least two months (60 days) before the date of its expiry.

Your establishment 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 sub office of EIA-_____along with a weekly statement.

Please acknowledge receipt.

Yours faithfully,

Copy to :

- (1)The Director (Insp. & Q/C) EIC, New Delhi – 110 001.
- (2)The Director, CIFT, Kochi
- (3)The Joint Director, MPEDA, Regional Office, Cochin – 682 016.
- (4)The Joint Director I/C, EIA-Kolkata / Chennai / Mumbai / Kochi
- (5)The Officer-in-charge,(concerned sub office)
- (6) Party File ()

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 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 includingunder approval No.....

for

.....
(Nature of activity of the establishment)

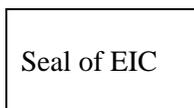
in its establishment situated at

.....
(Location of the establishment)

for export to.....

(Name of the importing Country)

subject to the conditions that the establishment should continue to meet the requirements of GOI Notifications No.S.O.730(E) dated 21.8.1995 & EC Directive No. 91/493/EEC dated 22.07.1991



Place : New Delhi

Signature :

Date:

Name : Ms. Shashi Sareen

Designation: Director (I&Q/C)

3rd Floor, NDYMCA Cultural Centre Building, 1 Jai Singh Road, New Delhi:110001

Tel:+ 91-11-23365540, 23748189 Fax: +91-11-23748024

E.mail :eic@eicindia.org Web: www:eicindia.org

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

No. EIA/

Date:

To

M/S.

Dear Sirs,

Sub: Approval to process fishery products for export to Non-EU countries.

Ref: Your application dated

Please refer to your application cited above for approval of your establishment, particulars of which are given below, for processing fish and fishery products 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 establishment	Category	Nature of Activities
	PP /PPa/ ZV	

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your establishment to assess the adequacy of the facilities available therein for processing Fresh/Frozen Fish & Fishery Products for export.

After due consideration of the report of the Panel of Experts, your processing establishment 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 for export to Non-EU countries.

The approval number allotted to your establishment is: _____.

The approval number shall be marked on the 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.

This approval is valid for a period up to and including_____.You should apply for renewal of approval at least two months (60 days) before the date of its expiry.

Your establishment 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 sub office of EIA-_____along with a weekly statement.

Please acknowledge receipt.

Yours faithfully,

(Joint Director I/c)

Copy to :

- (1)The Director (Insp. & Q/C) EIC, New Delhi – 110 001.
- (2)The Joint Director, MPEDA, Regional Office, Cochin – 682 016.
- (3)The Joint Director I/C, EIA – KOLKATA / CHENNAI / MUMBAI / KOCHI
- (4)The Officer-in-charge, (concerned sub office)
- (5) Party File ()

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

Sub: Application for approval of Technologist.

Sir,

Since, I am willing 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.

I am enclosing a Demand Draft No. dated for Rs.**2000/-** drawn on Bank in favour of Export Inspection Agency-towards assessment fee for approval of the technologist.

1. Name & Address with contact number : Mr./Ms.
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. Present place of posting with approval No. of the processing establishment where presently posted & designation. :
5. Particulars of training undergone in the field of fish processing and/or quality control. :
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)

Signature :
 Name :
 Designation :
 Place : Date :

EXPORT INSPECTION AGENCY – _____
REPORT OF ASSESSMENT OF TECHNOLOGIST (F&FP)

- | | | | |
|----|------------------------------------------------------------------------|---|-----------|
| 1. | Name & Address of the establishment to which the candidate is attached | } | |
| 2. | Approval No. of the establishment | } | |
| 3. | Name of the technologist | } | Mr./Ms. |
| 4. | Educational/professional qualifications | } | |
| 5. | Experience in fish processing / QC | } | |
| 6. | Date of Assessment | } | |
| 7. | Whether the qualifications and experience are verified | } | Yes / No. |
| 8. | Is this the first approval of technologist or renewal of the approval? | } | |

Factors of assessment**Panel observations**

- | | | | |
|-----|--------------------------------------------------------------------------|---|--|
| 8. | Ability to supervise fish processing operations | } | |
| 9. | Knowledge of sampling techniques | } | |
| 10. | Knowledge of organoleptic inspection of fishery products | } | |
| 11. | Knowledge of microbiological testing of fishery products | } | |
| 12. | Knowledge of chemical testing of fishery products | } | |
| 13. | Knowledge of sanitation & hygiene control | } | |
| 14. | Knowledge of HACCP based own checks system | } | |
| 15. | Knowledge of record keeping | } | |
| 16. | Knowledge of FFP Notifications and Executive Instructions/ EC directives | } | |
| 17. | Quality Consciousness | } | |
| 18. | Knowledge of regulatory Requirements of importing countries | } | |

EMARKS/RECOMMENDATIONS OF THE PANEL OF EXPERTS

Signature			
N a m e			
Institution			
D a t e			

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

Certificate of Approval

In exercise of the powers conferred under Rule 9.6 of 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.
(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

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 IDP for granting fresh approval.

Place:

Signature:

Date:

(Seal)

Name:

Designation:

APPLICATION FOR APPROVAL
(For additional facilities/processing activities)

From

To

Sir,

Please carry out the assessment of our establishment/factory vessel for 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 for processing fishery products for export.

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

We undertake that our establishment/factory vessel 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 herewith a Demand Draft/Cheque bearing no. _____ dated ____ for Rs. 2000/- towards the application fee.

1.General Information

- 1.1 Name and address of Establishment/Factory Vessel seeking approval for additional facilities/activities.
- 1.2 Address of its 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 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 requested for approval with details
- 5.2 Whether the additional activities have been properly addressed in the HACCP manual

- and submitted to the EIA for verification?
- 5.3 Whether HACCP is in place?
 - 5.4 Whether CCPs have been identified and monitored properly?
 - 5.5 Whether proper raw material, process and product controls are laid down to ensure the safety and quality of the product?
 - 5.6 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 number of employees / supervisors/ technologist recruited
 - 5.11 Whether additional equipments, machineries required for the new process activity ?
 - 5.12 If so, give details of equipments, 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.

Yours faithfully,

Signature :

Name :

Designation :

Company seal:

Place:

Dates

Check List of enclosures

1. Demand Draft/cheque for Rs. 2000/-
2. Up-to-date layout plan of establishment/factory vessel 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) where applicable
6. HACCP manual, where applicable
7. Attested copy of MPEDA registrations certificate of additional facilities where applicable.

**EXPORT INSPECTION AGENCY
MINISTRY OF COMMERCE
GOVERNMENT OF INDIA**

**ASSESSMENT REPORT FOR ADDITIONAL FACILITIES/PROCESSING
ACTIVITIES
(ESTABLISHMENT/FACTORY VESSEL)**

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 Establishment/Factory Vessel seeking approval for additional facilities/activities.
- 1.2 Address of its 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 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 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 requested for approval with details
- 5.2 Whether the additional activities have been properly addressed in the HACCP manual and submitted to the EIA for verification?
- 5.3 Whether HACCP is in place?
- 5.4 Whether CCPs have been identified and monitored properly?
- 5.5 Whether proper raw material, process and product controls are laid down to ensure the safety and quality of the product?
- 5.6 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 number of employees / supervisors/ technologist recruited
- 5.11 Whether additional equipments, machineries required for the new process activity ?
- 5.12 If so, give details of equipments, 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 interdepartmental panel (IDP)

Name of establishment/factory vessel
Location

Processor code No. allotted by EIA	
Nature of activities already approved	Pre-processing/Freezing ice plant/flake ice others (specify)
Countries to which the above unit is eligible to process	All countries including the European Union (EU) Countries other than EU
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 Establishment/Factory Vessel 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.

Or

The above additional facilities/processing activities of the Establishment/Factory Vessel may be approved under the export of Fresh, Frozen and Processed Fish and Fishery Products (Quality control, Inspection and Monitoring) rules 1995.

Reasons:

Suggestions for improvement, if any:

Signature :			
Name :			
Designation :			
Organisation :			
Date :			

NON- CONFORMITY REPORT

Name of the Unit :

DEFICIENCIES

Signature
Name
Designation
Organisation
Date

Fully agree with the observations /recommendations of the Assessment Team

Signature (representative of the unit)
Name
Designation
Date
Seal of the firm

APPLICATION FOR RENEWAL OF ESTABLISHMENT APPROVAL

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

From

.....
.....
.....

To

The Joint Director
Export Inspection Agency – _____

Sir,

The approval granted to our establishment/factory vessel/freezer vessel, particulars of which are given below, to process fishery products for 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 local cheque/DD No. dated for Rs.2000/- drawn on Bank in favour of Export Inspection Agency-towards application fee for renewal of approval.

1. Name and address of the establishment
(PPC/PP/PPa/Factory Vessel/Freezer Vessel)
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)
5. Nature of activities for which the establishment is approved and renewal sought
Freezing of raw fishery products
.....
6. Approval sought to process fishery products for export to:
All countries including EU/non-EU countries only
7. Export during last two years (with details of volume, value, destination etc.)
8. Annual Production during the last two years

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
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. Source of raw material used (Seacaught or aquacultured or both)
21. Name & Address of the merchant exporter(s) presently catering to
22. Name & Address of merchant exporter(s) catered for last two years
23. Any other relevant information

<u>Regn.</u>	<u>Certificate No.</u>	<u>Validity</u>
--------------	------------------------	-----------------

It is hereby testified that the above information is true to the best of my knowledge.

	Signature	:	
	Name	:	
Place:	Designation	:	
Date:	Company Seal	:	

EXPORT INSPECTION AGENCY –

No. EIA/

Date:

To

(Name & Address of establishment/ Factory vessel/Freezer Vessel)

Dear Sirs,

Sub: Renewal of Approval of establishment / Factory vessel/Freezer Vessel to process fishery products for export to EU/non-EU countries

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

The approval accorded to your establishment/ factory vessel/Freezer Vessel to process fishery products for export to EU/non-EU countries will be expired on the date shown above. If you wish to continue export of fishery products beyond the date of expiry of the current approval, 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 along with relevant documents and application fee of Rs. 2000/- by way of demand draft/local cheque drawn in favour of Export Inspection Agency - _____ may please be sent to this office in duplicate **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 establishment /factory vessel/freezer vessel assessed by the Inter Departmental Panel of experts for considering renewal of approval. You may ensure that the establishment shall have production at the time of the assessment.

Yours faithfully,

Joint/Deputy Director In-charge

Encl: Format of application for renewal of approval

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

ASSESSMENT REPORT OF ESTABLISHMENT FOR RENEWAL OF APPROVAL

Date of Visit :

Type of Visit : Inter Departmental Panel (IDP)

Composition of IDP

Sl. No.	Name of Expert	Designation	Organisation
1.			
2.			
3.			
4.			
1.	General Information		
1.1	Name and address of the 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 processing plant owned or leased by the applicant	:	Owned / Leased
1.5.	If leased, name of the plant owner, plant 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 Fish Freezing of Raw Fish & Fishery Products Freezing of Cooked Fish & Fishery Products Freeze drying/ Pre-processing of Fish & Fishery Products Ice Manufacture Frozen Storage of Fish & Fishery Products

- 1.8. Approval sought to process Fish & Fishery Products for export to (countries) } All Countries including the EU Countries other than EU
- 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 (Typewise- Flake/Tube/Block etc.) of approved ice plants under the control of the establishment }
- 2.10 a) Number and capacity of the chill room(s) }
b) 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.

	<u>Number</u>	<u>Capacity</u>	<u>Regn. No.</u>
a) Refrigerated Vehicle	_____	_____	_____
b) Insulated Vehicle	_____	_____	_____
c) Non – Insulated Vehicle	_____	_____	_____
d) Three Wheeler	_____	_____	_____
e) Water tanker	_____	_____	_____

2.13. Does the establishment hire outside vehicle? }

2.14. Whether any structural additions have been made since last approval **/renewal of approval?**
If so, give details:

- a)
- b)
- c)

3. Information about personnel

3.1. No. of approved technologists :

3.2. Whether the No. of technologists adequate? }

3.3 Sl. No. Name of approved Technologists Qualifications

- 1.
- 2.
- 3.

3.4. No. of Supervisors : Pre-processing Processing

3.5. Total No. of Male Workers :

3.6. Total No. of Female Workers :

3.7. No. of work shifts per day :

4. Raw Material

- 4.1. Source of raw material : Marine / Culture / Others (Specify)
- 4.2. Mode of transport of raw material }
from source to pre-processing
- 4.3. Is there any arrangement for }
traceability of raw materials?

5. Surroundings

- 5.1. Whether the conditions of } Yes / No
approval are still maintained
satisfactorily *
- 5.2. If not, what are the deficiencies? :

6. Construction and Layout

- 6.1. Whether the conditions of }
approval are still maintained
satisfactorily?*
- 6.2. If not, what are the deficiencies? :

7. Plant facilities

Are there adequate facilities for the following?

- 7.1. 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 the time of approval } Yes / No

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 / No

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. H. A. C. C. P.

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?

26. Recommendations of the IDP

Name of the Establishment :

Location :

EIA Approval No. (Processor Code) :

Nature of activities of the unit } Packing of Fresh/Chilled Fish
Freezing of raw fish & fishery Products (F&FP)(block frozen/ IQF/ IF
Freezing of cooked F&FP
Freez drying /Pasteurisation
Pre-processing of F&FP
Ice Manufacture
Frozen Storage of F&FP

The approval granted to the above establishment 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 all countries including the European Union/non-EU countries 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 establishment 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 all countries including the EU/non-EU countries may not be renewed for the reasons given below:

Reasons:

Suggestions for improvement, if any:

Signature :			
Name :			
Designation :			
Organisation :			
Date :			

NON-CONFORMITY REPORT

Name of the Unit :

DEFICIENCIES

Signature

Name

Designation

Organisation

Date

Fully agree with the observations /recommendations of the IDP

Signature (representative of the unit)

Name

Designation

Date

Seal of the firm

**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.

Madam,

Sub: Renewal of approval of establishments/factory vessel/freezer vessel to process fishery products for export to all countries including EU.
Ref: EIC letter No.EIC/D(Q/C)/T- /011 Dated

The Inter Departmental Panel (IDP) of experts, which assessed the following establishment/factory vessel/freezer vessel for the purpose of renewal of approval, has recommended that the approval granted to the establishment/factory vessel/freezer vessel to process fishery products 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:

Sl. No.	Name and Address of the establishment / factory vessel/freezer vessel with official address and scope of approval	App. No.	Date of expiry of current approval	Date up to which the approval is recommended to be renewed	Date of IDP visit	Category
						PP/PPa/ ZV

We enclose copies of the following documents in respect of the above establishment and recommend that the approval granted to process fishery products for export to all countries including the EU 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) IDP assessment reports of establishment for renewal of approval.
- (iii) Statement of performance

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

Yours faithfully

()
JOINT DIRECTOR I/C

Encl: As stated

Copy to: Party File: ()

EXPORT INSPECTION AGENCY - _____

Statement of Performance of Unit

(for the past two years)

Name and address of the establishment :

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	Satisfactory /Unsatisfactory	(b) Overall Performance of the Unit	Satisfactory /Unsatisfactory	(b) Overall Performance of the Unit	Satisfactory /Unsatisfactory	(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 OIC :

Date :

Name :

Place :

Designation :

(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 establishment _____

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 :

Encls.

1. Certified true copy of the agreement entered into between the processor & 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 concerned merchant exporter(s)

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 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, THE PERMISSION GIVEN TO YOU TO PROCESS AND PACK FISH & FISHERY PRODUCTS FOR THE FOLLOWING MERCHANT EXPORTER(S) IS HEREBY WITHDRAWN:

Name & Address of Merchant Exporter }
} }
} }
} }
} }

Yours faithfully,

[_____]
JOINT DIRECTOR

Copy to: (1) The Additional Director
EIC, New Delhi-110001.

(2) The Officer In-Charge,
Export Inspection Agency-_____,
SO: _-_____

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/Poor/Satisfactory	---	---	Satisfactory
Dehydration	Nil	0		
	Upto 5% by count	1		
	Above 5% upto 20 % for each add. 5% or part thereof by count	2	7	20%
	Above 20% for each add. 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 add. 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	2HL	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 %
Texure	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 10A Total score 11 to 20B Total score 21 to 25C Total score above 25D				
A3. A sample shall be considered as of reject quality if the score deductions exceed 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 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%	
Texure	Soft and Firm	
Objectionable foreign matter	Nil	
<p>Each sample shall be treated for overall quality as follows :</p> <p>Aggregate percentage upto 10A Aggregate percentage 11 to 20B Aggregate percentage 21 to 25C Aggregate percentage above 25 D</p>		

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%	
Texure	Soft and Firm	
Objectionable foreign matter	Nil	
<p>C1. Each sample shall be treated for overall quality as follows :</p> <p>Aggregate percentage upto 5A Aggregate percentage 6 to 10B Aggregate percentage 11 to 15C Aggregate percentage above 25 D</p> <p>Note : General appearance and odour of the samples shall be graded as good, satisfactory, poor</p>		

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

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

<u>S.No.</u>	<u>Parameters</u>
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 chloramination is used as a disinfectant

Note No.4 Necessary only in the case of water offered for sale in bottles or containers

**EXPORT INSPECTION AGENCY –
MONITORING REPORT**

Date of Visit

Name of the Processing Establishment (PP)

Approval No.

Product being processed at the time of visit

Sl. No. (1)	(2)	Observations/suggestions (3)
General		
1.	Name and Designation of Monitoring officer(s) last visited	
2.	Whether defects pointed out earlier have been rectified by the unit	
3.	Mention deficiencies 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	
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/ pasteurisation section	
8.	Packing section	
9.	Chill rooms	
10.	Cold storages	
11.	Machineries/equipments	
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	Has the organization (HACCP team) drawn up and implemented control measures for the elimination or reduction of the risk to an acceptable level?	

3	Whether the unit has established critical limits for each measures intended to control each hazard?	
4	Whether the critical limits are validated regularly?	
5	What is the frequency of monitoring (sampling plan)?	
6	How the measuring is implemented & kept up?	
7	Who is responsible for monitoring? Whether he/she has undergone proper training frequently?	
8	Whether the instruments used for measurement are reliable?(calibration/verification)	
9	Are the results of monitoring recorded by means of: -monitoring reports(dated & signed) -registration of deviation occurred(marginal values and critical marginal values) and corrective measures taken	
10	Whether any deviation observed and if so, specify the corrective actions taken by the unit?	
11	Describe the verification procedures of the establishment	
12	What is the frequency of verification?	
13	Name & designation of person(s) responsible for verification	
Own Check system (give details 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 lab practices in the in house lab		
1.	Good laboratory practices	
2.	Reliability of testing	
3.	Lab chemicals	
4.	Equipments and utensils of lab	
5.	Calibrations of lab equipments	
6.	Proficiency testing	

Verification of records		
1.	Traceability records	
2.	Raw Material records	
3.	Production records	
4.	Freezing records	
5.	Packing records	
6.	Storage and transportation records	
7.	Quality control & Inspection records	
8.	Test reports	
9.	Calibrations & validation records	
10.	Sanitary and hygiene records	
11.	Personal hygiene records	
12.	Time/temperature records	
13.	Water & ice test reports	
14.	Chlorination records	
Additional Checks (Verify & record the observations)		
1.	<u>Chlorination levels</u> <ol style="list-style-type: none"> 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.	<u>Temperature of the Products</u> <ol style="list-style-type: none"> 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.	<u>Temperature of the facilities</u> <ol style="list-style-type: none"> 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	
2.	Exceeding capacity limits	
3.	Improper labelling	
4.	Manipulation of records	
5.	Storing of cargo of other establishments without permission	
6.	Processing in unauthorised places	

Details of samples drawn during monitoring		
1.	Parasite checks	
2.	Microbiological samples	
3.	Sanitary samples	
4.	TVB-N and histamine	
5.	PSP & DSP	
6.	Sulphites and added phosphates	
7.	Salt	
8.	Antibiotics and bacterial inhibitors	
9.	Heavy metals	
10.	Pesticides	
11.	Proficiency testing of in house lab	
Any other relevant information		
Recommendations		

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

Signature

Name

Designation

Date

Place

Remarks of the Supervisory Officer

Signature

Name

Designation

Date

Place

EXPORT INSPECTION AGENCY – _____

NON-CONFORMITY REPORT (NCR)

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

1. Earlier **NCR** pending rectification

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

3. Comments / Agreed action:

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

Signature :

Signature :

Name :

Name :

Designation :

Designation :

(EIC / EIA officer)

Representative of the establishment

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

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

- 1.
- 2.
- 3.
- 4.
- 5.

Agreed action by the processor :

Signature :

Name :

Designation :

(EIC / EIA officer)

Signature :

Name :

Designation :

Representative of the establishment

EXPORT INSPECTION AGENCY – _____
SUPERVISORY VISIT REPORT

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

Sl. No.		Satisfactory	Details of deficiencies, 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		
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		

6. MVs since last SV:

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

7. Results of Water / Ice :

8. Recommendations :

⇒ Overall Rating – Satisfactory / Unsatisfactory	
⇒ NCR	

Signature :

N a m e :

Designation :

Date : Place:

Remarks of the Agency Incharge

Signature :

N a m e :

Designation :

Date : Place:

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

EXPORT INSPECTION COUNCIL
(MINISTRY OF COMMERCE)
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	

7. OBSERVATION FORM

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

8. NON-CONFORMITY REPORT (NCR)

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

9. General Observations

1	
2	
3	
4.	
5.	
6.	

Team Leader

Auditor

Proposed Corrective actions

Probable Date of Completion

Auditee

NC cleared/down graded/statusque

Auditor

Date:

Team Leader

APPLICATION FOR APPROVAL/RENEWAL OF APPROVAL OF FISHING / FREEZER VESSEL

From

.....
.....
.....

Please carry out the assessment of the Fishing / 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 Fishing Vessel.

We undertake that the Fishing / Freezer Vessel meets the requirement stipulated in EC Directive No. 92/48/EEC dated 16.6.92.

Please find enclosed herewith a Demand Draft/Cheque bearing No. for Rs.

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, what is the relationship between the vessel and : establishment?
- 1.5. Address for communication / Address of 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 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 storage 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 damage 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 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, equipments, 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 disinfection, 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 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 :
sea water filling and drainage installations?
- 3.12.3 Whether they incorporate devices for achieving uniform :
temperature through out 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:
-3°C with 6 hours after loading, and
-0°C 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?

Any other relevant information :

Yours faithfully

Checklist

- (1) Demand Draft for Rs. 2000/-
- (2) Layout of the freezer vessel showing the different sections
- (3) Certified copy of the legal identity of the freezer vessel and scope of operation
- (4) Potability certificate of water if fresh water is used (as per EC directive 98/83/EC)
- (5) Attested photo-copy of any other certificate obtained from Department of Fisheries/Port Trust, MPEDA.
- (6) HACCP Manual of the vessel.
- (7) Attested certificates copy of the order allotting Importer-Exporter order (IEC)
- (8) Undertaking as per annexure II

ASSESSMENT REPORT OF THE FISHING / FREEZER VESSEL

Date of Visit :

Type of Visit : Inter Departmental Panel (IDP)

Composition of IDP:

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, what is the relationship between the vessel and :
establishment?

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 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 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 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
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, equipments, 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 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 through out 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:

-3°C with 6 hours after loading, and
-0°C 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?

4. Any other relevant information :

Recommendation of the Inter Departmental Panel
(IDP)

Name of the Fishing Vessel

Other remarks, if any

Signature

Name

Designation

Organisation

NON-CONFORMITY REPORT

Name of the Unit :

DEFICIENCIES

Signature of IDP experts			
Name			
Designation			
Organisation			

Fully agree with the observations /recommendations of the IDP

Signature (representative of the unit)

Name

Designation

Date

Seal of the firm

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

No. EIA/

Date:

To

M/S.

Dear Sirs,

Sub: Approval of Freezer Vessel to freeze fishery products for export to all countries including EU.

Ref: Your application dated _____

Please refer to your application cited above for approval of your freezer vessel, particulars of which are given below, for freezing fish and fishery products 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 Freezer Vessel	Nature of Activities
	Fishing and freezing of fish & fishery products

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your freezer vessel to assess the adequacy of the facilities available therein for freezing Fish & Fishery Products for export.

After due consideration of the report of the Panel of Experts, your **freezer vessel** 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 freeze fish and fishery products for export to all countries including the European Union (EU). However, while you may export fish & fishery products to countries other than EU with immediate effect, export to the EU countries shall commence only from the date of EC Notification including your name in the list of establishments/freezer vessels. The Competent Authority shall also start issuing health certificates for consignments meant for export to the EU only after your name is included in the EC list.

The approval number allotted to your freezer vessel is: _____

The details of identification mark are given in Annexure - VII of Government of India Notification No. S.O. 730 (E) dated 21.8.1995.

This approval is valid for a period up to and including _____ .
You should apply for renewal of approval at least two months (60 days) before the date of its expiry.

Your freezer vessel shall henceforth come under the purview of monitoring under the Rules. You are advised to adopt HACCP based own check system, follow the hygiene rules given in **Directive 92/48/EEC** and ensure proper maintenance of records. You shall make the freezer vessel available for monitoring/inspection by EIA at least once in a month.

Please acknowledge receipt.

Yours faithfully,

Copy to :

1. The Director, EIC, New Delhi
2. Joint Director, MPEDA, Kochi
3. The Joint Director(I/C), EIA-Kochi/Chennai/Mumbai/Kolkata
4. Party file

HEALTH CERTIFICATE

for fishery and aquaculture products originating in India and intended for export to the European Community, excluding bivalve molluscs, echinoderms, tunicates and marine gastropods in whatever form

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

Country of dispatch: **INDIA**

Competent authority (I) : EXPORT INSPECTION COUNCIL OF INDIA (EIC) OF
MINISTRY OF COMMERCE

1. 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 EC :.....

.....

.....

III Destination of products

The products are dispatched

from :
(Place of dispatch)

to :
(Country and place of destination)

by the following means of transport :

Name and address of dispatcher:

.....

.....

Name of 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 by Directive 92/48/EEC
 2. were landed, handled and where appropriate packaged, prepared, processed, frozen, thawed and stored hygienically in compliance with the requirements laid down in Chapters II, III and IV of the Annex to Directive 91/493/EEC;
 3. have undergone health controls in accordance with Chapter V of the Annex to Directive 91/493/EEC;
 4. are packaged, marked, stored and transported in accordance with Chapters VI, VII, and VIII of the Annex to Directive 91/493/EEC;
 5. do not come from toxic species or species containing biotoxins;
 6. have satisfactorily undergone the organoleptic, parasitological, chemical and microbiological checks laid down for certain categories of fishery products by Directive 91/493/EEC and in the implementing decisions thereto.
- The undersigned official inspector hereby declares that he is aware of the provisions of Directives 91/493/EEC and 92/48/EEC and Decision 97/876/EC.

Done at..... On

(Place) (Date)

**OFFICIAL
STAMP**

.....
Signature of official inspector⁽¹⁾

.....
(Name in capital letters, capacity and qualifications of person signing)

Original

HEALTH CERTIFICATE

for fishery and aquaculture products originating in India and intended for export excluding bivalve molluscs, echinoderms, tunicates and marine gastropods in whatever form

Book No. Reference No.:..... SL.No.

Country of despatch: INDIA

Competent authority: EXPORT INSPECTION COUNCIL OF INDIA(EIC) OF MINISTRY OF COMMERCE

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 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 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.

II

*(Acts whose publication is not obligatory)***COMMISSION****COMMISSION DECISION**

Of 23 December 1997

Laying down special conditions governing imports of fishery and aquaculture products originating in India
(Text with EEA relevance)

(97/876/EC)**THE COMMISSION OF THE EUROPEAN COMMUNITIES,**

Having regard to the Treaty establishing the European Community,

Having regard to Council Directive 91/493/EEC of 22 July 1991 laying down the health conditions for the production and the placing on the market of fishery products⁽¹⁾ as last amended by Directive 95/71/EC⁽¹⁾ and in particular Article 11 thereof,

Having regard to Council Directive 90/675/EEC of 10 December 1990 laying down the principles governing the organization of veterinary checks on products entering the Community from third countries⁽²⁾ as last amended by Directive 96/43/EC⁽³⁾, and in particular Article 19(7) thereof.

Whereas a Commission expert has conducted an inspection visit to India to verify the conditions under which fishery products are produced, stored and dispatched to the Community;

Whereas the provisions of legislation of India on health inspection and monitoring of fishery products may be considered equivalent to those laid down in Directive 91/493/EEC;

Whereas, in India the Export Inspection Council of India (EIC) of Ministry of Commerce is capable of effectively verifying the application of the laws in force;

Whereas the procedure for obtaining the health certificate referred to in Article 11(4)(a) of Directive 91/493/EEC must also cover the definition of a model certificate, the minimum requirements regarding the language(s) in which it must be drafted and the grade of the person empowered to sign in;

Whereas, pursuant to Article 11 (4) (b) of Directive 91/493/EEC, a mark should be

affixed to packages of fishery products giving the name of the third country and the approval number of the establishment, cooling store or freezing vessel of origin;

Whereas, pursuant to Article 11(4) (c) of Directive 91/493/EEC, a list of approved establishments, cooling stores or freezing vessels must be drawn up; whereas that list must be drawn up on the basis of a communication from the EIC to the Commission; whereas it is therefore for the EIC to ensure compliance with the provisions laid down to that end in Article 11⁽⁴⁾ of Directive 91/493/EEC;

Whereas the EIC has provided official assurances regarding compliance with the rules set out in Chapter V of the Annex to Directive 91/493/EEC and regarding the fulfilment of requirements equivalent to those laid down by the Directive for the approval of establishments, cooling stores or freezing vessels;

Whereas it is necessary to repeal Commission Decision 97/515/EC of 1 August 1997 concerning certain protective measures with regard to certain fishery products originating in India⁽⁵⁾;

Whereas the measures provided for in this Decision are in accordance with the opinion of the Standing Veterinary Committee,

HAS ADOPTED THIS DECISION:

Article 1

The Export Inspection Council of India (EIC) of Ministry of Commerce shall be the competent authority in India for verifying and certifying compliance of fishery and aquaculture products with the requirements of Directive 91/493/EEC.

Article 2

Fishery and aquaculture products originating in India, must meet the following conditions:

2. each consignment must be accompanied by a numbered original health certificate, duly completed, signed, dated and comprising a single sheet in accordance with the model in Annex A hereto;
3. the products must come from approved establishments listed in Annex B hereto;
4. except in the case of frozen fishery products in bulk and intended for the manufacture of preserved foods, all packages must bear the word 'INDIA' and the approval number of the establishment cooling store or freezing vessel of origin in indelible letters.

Article 3

1. Certificates as referred to in Article 2(1) must be drawn up in at least one official

language of the Member State where the checks are carried out.

2. Certificates must bear the name, capacity and signature of the representative of the EIC and the latter's official stamp in a colour different from that of other endorsements.

Article 4

Decision 97/515/EC is repealed.

Article 5

This decision is addressed to the Member States.

Done at Brussels, 23 December 1997.

For the Commission

Franz FISCHLER
Member of the Commission

⁽¹⁾ Oj L. 268. 24. 9.1991. p. 15.

⁽²⁾ Oj L. 332. 30. 12.1995. p. 40.

⁽³⁾ Oj L. 373. 31. 12.1990. p.1

⁽⁴⁾ Oj L. 162. 1.7. 1006. p. 1

⁽⁵⁾ Oj L. 214, 6.8.1997. p. 52

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)**

Names of the laboratory involved :
 Date of sampling/completion :
 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 of the Incharge of the Lab.

WEEKLY 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; _____

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 latter, 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 such certificate 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 such
certificate

Witnesses

- 1.
- 2.

Place:
Date:

Signature:
Name & Designation
Seal of the Company:

EXPORT INSPECTION AGENCY –

**Monthly report of supervisory / monitoring visits to the EU/ Non EU approved
F&FP establishments for the month of.....**

1. Number of supervisory/monitoring visits planned
2. Number of supervisory/monitoring visits actually conducted
3. Number of units which are satisfactory based on the visits
4. Number of units which are unsatisfactory based on the visits
5. Reasons for short fall, if any in supervisory /monitoring visits
6. Action taken in case of each unsatisfactory unit
7. Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.
8. Any other information

Place :

Signature :

Date :

Name :

Designation:

EXPORT INSPECTION AGENCY –
(LIST OF APPROVED UNITS (EU& NON- EU) AS ON.....)

SL.NO	AP.NO	NAME OF ESTABLISHMENT	ADDRESS OF ESTABLISHMENT	CATEGORY	DATE OF INITIAL APPROVAL	VALID.OF APPROL.UPTO &INC.
(1)	(2)	(3)	(4)	(5)	(6)	(7)

EXPORT INSPECTION AGENCY –

**Details of Health Certificates Issued during the month.....
for consignments of Fishery Products which have been tested for
Antibiotics**

s.no	Ap.no	Number of certificates issued	Residues tested with results	Test method and sensitivity	Laboratory	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

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

Month:

S.No.	Name of the establishment	Ap.No.	Defects Observed in the NRCP Report	No. of consignments tested & contaminant(s) tested for	Name of the Lab Test methods and detection limits	Test Results	Remarks
<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>

Export Inspection Agency-----

Details of samples failed during monitoring of EU approved FFP units
for the month-----

S.NO.	Name of the unit with Ap.no.	Products from which samples drawn	Date of sampling	Name of the lab	Parameters failed	test results	Test methods /detection level	Specified levels	Actions taken
1	2	3	4	5	6	7	8	9	10

EXPORT INSPECTION AGENCY-----

Status Report on F&FP Establishment, which had complaint from EU.
(Ref.EIC letter No. EIC/D(Q/C)/T-1(Status Report)2002 dated 26.12.2002)

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 :
4. **Date of placing the unit' On 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 :
 - Test results by other lab(CIFT) :
 - 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
 - Whether the unit meets the conditions specified in 91/493/EEC
 - Implementation of HACCP :
 - Routine testing by the unit :
 - Traceability and the source of raw material used for the consignment in question. :
 - Corrective action suggested/implemented ,if any. :
 - Whether the consignment has been tested prior to shipment for the contaminant(s)_ in question(if so, give details)

- Test results of samples drawn during assessment(with details like number of samples, test methods, name of the Lab etc.

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/Codes tested (with details of testing method, Lab etc.)**

- (a) EU Consignments (10 Consignments)
 - No. of confinements tested/3 prodn. codes :
 - No. of consignments passed :
 - No. of consignments failed :
 - Reason for failure/other remarks :
- (b) Non EU consignments (1 in 4 consigs.)
 - No. of consignments tested :
 - No. of consignments passed :
 - No. of consignments failed(state reason) :

Present status:

- Date of recommendations to EIC to send recommendation to the foreign health authority
- Change in Frequency of Monitoring (F.M.), if any :
- Date of recommendation to EIC to lift ‘on alert’ :
- Date of Revocation of ‘on alert’ & EIC reference :
- **Action pending** :

**Signature
(Name & designation)**

(Name & Address of Lab)

Certificate No:
Date of Issue:CERTIFICATE OF ANALYSIS

1.	Name of Processor	Product/ Simple Name:
2.	Name of exporter	
3.	Name of importer	Sample description
4.	Type of packing	Date of receipt
5.	Quantity/Weight	Analyses started
6.	Production code	Analysis completed

Sl.No.	Parameters Tested	Results	Detection Limit	Test Method
1.	Nitrofurans by HPLC			
a)	Nitorfurazone			
b)	Nitrofurantoin			
c)	Furazolidone			
d)	Furaltadone			
2.	Nitrofurans metabolites by LC MS MS			
a)	AOZ			
b)	3-Amino-5-morpholinomethyl-2-Oxazolidinone (AMOZ)			
c)	1-aminohydantone (ADH)			
d)	Semicarbazide (SEM)			

Authorised Signatory

EXPORT INSPECTION AGENCY –

**Details of “Certificate of Analysis” Issued during the month
for consignments of aquaculture shrimps exported to Japan which
have been tested for Antibiotics**

S.no	Name of the establishment with Ap.no	Number of consignments tested with quantity and value	Residues tested with results	Test method and sensitivity	Laboratory	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

APPLICATION FOR APPROVAL**From**

.....

To

Export Inspection Agency-

Sir,

Please carry out the assessment of our establishment as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 for handling fish & fishery products for export to European Union/Non-EU countries.

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

We undertake that our establishment meets the requirements stipulated in Export of 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 bearing No. dated
 for Rs.2000/- towards the application fee.

- | | | |
|-----------|-------------------------------------------------------------|--------------------------------------------|
| 1. | General Information | |
| 1.1. | Name and address of the Establishment seeking approval | |
| 1.2. | Name and Addressed of the Registered office | |
| 1.3. | Name of the Chief Executive (MD/Mg. Partner/Proprietor) | |
| 1.4. | Is the plant owned or leased by the applicant | Owned/leased |
| 1.5. | If leased, name of the plant owner, plant name and address. | |
| 1.6. | Year of Construction | |
| 1.7. | Year of last major alteration | |
| 1.8. | Approval requested for export to (Countries) | European Union
Countries other than EU. |
| 1.9. | Scope of approval applied for | Packing of Fresh /Chilled F&FP |

- 1.10. Additional activities, if any
- 1.11. Annual production during the previous year
 - (a) Fishery Products
 - (b) Others (specify)
- 1.12. Total exports during the previous year
 - (a) Destination
 - (b) Quantity in Kg.
 - (c) FOB Value
- 1.13. Whether all year production or seasonal production
- 1.14. No. of working hours per day
- 1.15. No. of working days per week
- 2. Information on Structure of the Establishment**
- 2.1. Does the establishment have own ice plant
- 2.2. If so, is it integrated?
- 2.3. If separate, give address(es) and distance from the establishment
- 2.4. If separate, whether it is approved or application for approval has been filed?
What type of ice is used? (Block, tube etc.)
- 2.5. What is the total capacity of the ice plant(s) owned by the establishment (including flake ice making facility, if any)?
- 2.6. Whether ice is obtained from external source?
- 2.7. If so, address (es) of the ice plant(s) from where ice is obtained?
- 2.8. Are they approved by the Competent Authority (CA)?
- 2.9. Number and capacity of the chill room(s)

- 2.10. No. of vehicles the establishment has for transportation of raw material, ice and water (if applicable) No., capacity and registration number of :
Number Capacity Regn. No.
 (a) Refrigerated Vehicle
 (b) Insulated Vehicles
 (c) Non-insulated Vehicles
 (d) Three wheelers
 (e) Water Tanker
- 2.11. Does the establishment hire outside vehicles ? (Give details)

3. Information about personnel

- 3.1. No. of technologists available in the establishment
- 3.2. Name and qualification of the technologist(s) supervising the processing and related operations
- 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

4. Raw Material

- 4.1 Are the raw material sea caught, aquacultured or both
- 4.1(a) Source of Raw Material
- 4.1(b) Particulars of the fishing vessel(s)
- 4.2. Specify the location of the landing centre(s)

- 4.2(a). Name and address of aquaculture farm from where raw materials are received.
- 4.2 (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 4 degree centigrade during procurement / transportation and receiving at the unit
- 4.5 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 industrial contaminants.
- 4.6. Are the raw materials being tested for bacteriological/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

- 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 establishment, 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 off 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 permanent nature?
- 6.2. Is the design and layout such as to preclude contamination?
- 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. Whether there is separate facility for 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?
- 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

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?

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?
- 9.9. Whether air curtain are 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 side ways?
- 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 Equipments**
- 19.1. Are all receptacles and utensils used made of non-corrodible material and have smooth surface free from cracks and crevices?
- 19.2. Are they easily cleanable & disinfectable?
- 19.3. Is any rusted galvanised iron vessel, bamboo baskets, wiremesh containers, enamelled 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 0 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. Tables, Utensils and Equipment

- 21.1 Are the work table tops constructed of stainless steel or any other non-corroding, non-contaminating, non-reacting and non-absorbent material (specify)?
- 21..2 Are the tables so constructed and installed that the top and under surface can be easily cleaned?
- 21..3 Are the table tops smooth, free from corrosion, pits and crevices and can be cleaned easily?
- 21. 4 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?
- 21.5 Are they easily cleanable?

22. Water and Ice

- 22.1. Is there a documented water management system?
- 22.2. Whether plumbing diagram of the water supply system available with the outlets identified and serially numbered?
- 22.3. What is the source of water?
- 22.4. Whether potability certificate produced for each source of water as per specification ?
- 22.5. If more than one source of water supply is used, are they tested separately?
- 22.6. Whether water used for processing meets the standards stipulated in EC Directive No. 98/83/EC or IS: 4251

- 22.7. Whether relevant test records available?
- 22.8. If non-potable water is used, is there any cross connection of potable and non-potable water?
2329. Are the water pipes of potable and non-potable water distinguished by different colour codes?
- 22.10. Is the water used for processing chlorinated to the accepted levels?(less than 2ppm)
- 22.11. What is the system of chlorination?
- 22.12. Whether water used for cleaning equipment, floors, etc. is of potable quality?
- 22.13. Is there a water treatment plant?
- 22.14. If so, is it adequate to provide sufficient quantity of water for processing?
- 22.15. If hoses are used as outlet for water whether non-return valves are fitted to the taps to prevent contamination through back suction?
- 22.16. Is there a water storage tank and if so, whether it is protected from outside contamination?
2217. Is there easy access to the water tank for cleaning?
- 22.18. What is the capacity of the water storage tank(s)?
- 22.19. Is the water supply sufficient in relation to the maximum daily production?
- 22.20. What is the frequency of cleaning & disinfestations of the water tanks?
- 22.21. Whether there is a documented procedure for cleaning water tank(s)?
- 22.22. Is water brought from external source in mobile water tankers?
- 22.23. If so, are the water tankers cleaned and disinfected periodically; what is the frequency?

- 22.24. Whether there is documented procedure for water tanker cleaning?
- 22.25. Is the ice used made from potable water as per norms? (To be supported by document)
- 22.27. Is there adequate facility for hygienic handling and storage of ice?
- 22.28. If ice is obtained from different sources, are they tested separately and records maintained?

23. Packaging Room

- 23.1. Is separate area provided for packing?
- 23.2. Does the packing room have rodent control system?
- 23.3. Is there separate and suitable room for storage of packing materials?
- 23.4. Is it fly, rodent and vermin proof?
- 23.5. Does the documented rodent control system extend to store for packing material also?
- 23.6. Are the walls clean and free from moisture and fungus?
- 23.7. Are the packing materials stored away from the walls, ceiling in such a way as to allow a person to move around for inspection?
- 23.8. Are the packing material stored without touching the ceiling & walls and are cover properly?
- 23.8. 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?

24. Toilet Facilities

- 24.1. Is the number of toilets provided in relation to the total number of workers?
- 24.2. Are the toilets located away from the processing area to prevent contamination?
- 24.3. Whether the toilet rooms have walls washable, ceiling smooth and floors constructed of impervious material, and easy to clean and sanitise?
- 24.4. Are the toilets well lit?
- 24.5. Are they provided with self-closing doors, fly-proofing and flushing arrangements?
- 24.6. Are hand washing and sanitizing facilities, with wash-basins, soap, single use towels, nail brushes and adequate water supply provided near the toilets?
- 24.7. Are the taps of the wash basin foot operable?
- 24.8. Is waste bin provided for collecting used towels?
- 24.9. Are there sign boards directing employees to clean and sanitise their hands with soap/detergents/ disinfectants after using toilets?

25. Personal Hygiene

- 25.1. Has any person been made responsible for maintenance of personal hygiene of employees?
- 25.2. Are the workers apparently free from any form of communicable diseases, open sores and wounds or any other sources of contamination?
- 25.3. Are the workers medically examined periodically and whether individual health cards showing that the individual is fit to work in fish processing plant maintained?
- 25.4. Are prophylactic injections being administered to the plant employees and records thereof included in the individual cards?

25.5. Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhoea or any other communicable diseases in their homes?

25.6. Are workers medically examined after each absence due to illness from any contagious disease?

25.7. Are the workers provided with sufficient sets of clean work dress and headgears?

26. Cleaning and Disinfection of plant, equipment and utensils

26.1. Is there a documented procedure for cleaning and disinfections of plant, equipment and utensils?

26.2. Is the cleaning schedule exhibited prominently?

26.3. Is there an area earmarked for cleaning and disinfection of utensils and equipment?

26.4. Are facilities of cold/hot water/steam under pressure, wherever appropriate, provided for cleaning and disinfection?

26.5. Is any person made responsible for supervising this work ?

26.6. Is the effectiveness of cleaning verified periodically through laboratory tests?

27. Changing Room

27.1. Are separate changing rooms of adequate size proportionate to the number of workers provided for male and female workers?

27.2. Whether changing room is integrated into the plant layout properly?

27.3. Does the changing room have smooth walls, floors and wash basins with soaps, disposable towels, nail brushes and non-hand operable taps?

27.4. 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
- 27.5. Is there suitable in-house arrangement to launder the working clothes of the workers?
- 27.6. Is the changing room provided with flush lavatories? Is it kept clean and sanitised?
- 27.7. Does the door of the lavatory open directly to processing area?

28. Maintenance Schedule

- 28.1. Whether there is a documented maintenance procedure for different sections/equipment/ Machinery, laboratory items etc.
- 28.2. Whether maintenance records are kept?
- 28.3. Whether all the equipment are marked with identification number?

29. HACCP

- 29.1. Has the own check system based on HACCP implemented?
- 29.2. If so, has the HACCP manual been submitted to the competent authority for approval?
- 29.3. Whether persons responsible have been identified?
- 29.4. Whether records are maintained for this purpose?
- 29.5. Whether the frequency of monitoring of critical limits at CCP is adequate as evidenced by the actual observation?
- 29.6. Whether breakdowns and malfunctions are recorded?
- 29.7. Whether there is a provision to review and revise procedure and frequency?

30. Rodent/Vermin Control

- 30.1. Is there any documented procedure for vermin control?
- 30.2. Whether responsibility has been fixed for this work?

- 30.3. Whether vermin/rodent control carried out by own arrangement or through outside agency?
- 30.4. Whether bait map showing serially numbered bait stations has been provided?
- 30.5. Whether chemical/rodenticides are approved by the competent authority?

31. Transportation

- 31.1. Is the unit having adequate facilities for transport of raw material and finished products?
- 31.2. If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated boxes are provided?
- 31.3. Are the vehicles insulated/refrigerated?
- 31.4. Are they constructed in such a way to facilitate easy cleaning and sanitisation?
- 31.5. Is there separate arrangement for cleaning and sanitisation of transport vehicles?
- 31.6. Are the records of the above maintained?
- 31.7. Whether such arrangement creates environmental problems?
- 31.8. Are the vehicles cleaned and disinfected periodically?
- 31.9. Whether there is a documented procedure for cleaning the vehicles?

32 Inspection and Testing

- 32.1. Is the unit having in-house facilities for inspection and testing?
- 32.2. Is the unit having separate qualified and competent personnel for conducting physical, chemical and microbiological tests?
- 32.3. Are there separate technologists for supervision of processing and for conducting laboratory tests?

33. Any other relevant information

Yours faithfully,

Signature :

Name :

Designation :

Company Seal :

Place :

Date :

Check list of enclosures

- (1) Demand Draft for Rs.2000/-
- (2) Up-to-date layout plan of establishment/factory vessel
- (3) Plumbing diagram
- (4) Organisational Chart of the establishment
- (5) Certified Copy of the legal identify of establishment/factory vessel
- (6) Bio-data of technologist(s)
- (7) Certified copy of Lease Deed, if applicable
- (8) Attested copy of Portability certificate of water and Ice (As per the Directive No.98/83/EC) for EU establishment and as per IS4251 except radiological parameters for Non EU establishment.
- (9) HACCP Plan
- (10) Attested copy of MPEDA Registration Certificate of pre-processing unit/processing plant/storage etc.
- (11) Attested copy of the order allotting Importer-Exporter Code (IEC) Number.
- (12) Attested copy of the consent letter issued by the State Pollution Control Board.
- (13) Guarantee and undertaking

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

**ASSESSMENT REPORT -1
(Establishment)**

Date of Visit :

Type of Visit : **Inter Departmental Panel (IDP)**

COMPOSITION OF IDP

Sl.No.	Name of Expert	Designation	Organisation
I.			
II.			
III.			
1.	General Information		
1.1.	Name and address of the Establishment seeking approval		
1.2.	Name and Addressed of the Registered office		
1.3.	Name of the Chief Executive (MD/Mg. Partner/Proprietor)		
1.4.	Is the plant owned or leased by the applicant		Owned/leased
1.5.	If leased, name of the plant owner, plant name and address.		
1.6.	Year of Construction		
1.7.	Year of last major alteration		
1.8.	Approval requested for export to (Countries)		European Union Countries other than EU.

- 1.9. Scope of approval applied for Packing of Fresh /Chilled F&FP
- 1.10. Additional activities, if any
- 1.11. Annual production during the previous year
(a)Fishery Products
(b)Others (specify)
- 1.12. Total exports during the previous year
(a) Destination
(b) Quantity in Kg.
(c) FOB Value
- 1.13. Whether all year production or seasonal production
- 1.14. No. of working hours per day
- 1.15. No. of working days per week
- 2. Information on Structure of the Establishment**
- 2.1. Does the establishment have own ice plant
- 2.2. If so, is it integrated?
- 2.3. If separate, give address(es) and distance from the establishment
- 2.4. If separate, whether it is approved or application for approval has been filed?
What type of ice is used? (Block, tube etc.)
- 2.5. What is the total capacity of the ice plant(s) owned by the establishment (including flake ice making facility, if any)?
- 2.6. Whether ice is obtained from external source?
- 2.7. If so, address (es) of the ice plant(s) from where ice is obtained?
- 2.8. Are they approved by the Competent Authority (CA)?
- 2.9. Number and capacity of the chill room(s)

- | | | |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|
| 2.10. | No. of vehicles the establishment has for transportation of raw material, ice and water (if applicable) No., capacity and registration number of :
(a) Refrigerated Vehicle
(b) Insulated Vehicles
(c) Non-insulated Vehicles

(d) Three wheelers
(e) Water Tanker | <u>Number</u> <u>Capacity</u> <u>Regn. No.</u> |
| 2.11. | Does the establishment hire outside vehicles ? (Give details) | |

3. Information about personnel

- 3.1. No. of technologists available in the establishment
- 3.2. Name and qualification of the technologist(s) supervising the processing and related operations
- 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

4. Raw Material

- 4.1 Are the raw material sea caught, aquacultured or both
- 4.1(a) Source of Raw Material
- 4.1(b) Particulars of the fishing vessel(s)
- 4.2. Specify the location of the landing centre(s)
- 4.2(a). Name and address of aquaculture farm from where raw materials are received.
- 4.2 (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 4 degree centigrade during procurement / transportation and receiving at the unit
- 4.5. 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 industrial contaminants.
- 4.6. Are the raw materials being tested for bacteriological/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

- 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 establishment, 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 off 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 permanent nature?
- 6.2. Is the design and layout such as to preclude contamination?
- 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. Whether there is separate facility for 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?

- 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

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?

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?
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- 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?
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- 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?
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- 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 side ways?
- 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?

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- 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?
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- 14.1. Are the floor to wall and wall-to-wall junctions properly rounded off in all sections?
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- 16.1. Is the ceiling at all sections in good repair and cleanable?
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- 16.4. If so, whether there is protection from falling debris, dust or dripping?

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- 17.1. Is there adequate lighting?
- 17.2. Are the lights sufficiently protected & kept clean?

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- 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?
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- 19.1. Are all receptacles and utensils used made of non-corrodible material and have smooth surface free from cracks and crevices?
- 19.2. Are they easily cleanable & disinfected?
- 19.3. Is any rusted galvanised iron vessel, bamboo baskets, wiremesh containers, enamelled 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?

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20.1. Are chill room (s) provided for storing raw/process material?

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21.5 Are they easily cleanable?

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- 22.19. Is the water supply sufficient in relation to the maximum daily production?
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- 22.21. Whether there is a documented procedure for cleaning water tank(s)?

- 22.22. Is water brought from external source in mobile water tankers?
- 22.23. If so, are the water tankers cleaned and disinfected periodically; what is the frequency?
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- 22.25. Is the ice used made from potable water as per norms? (To be supported by document)
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- 23.8. 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?

24. Toilet Facilities

- 24.1. Is the number of toilets provided in relation to the total number of workers?
- 24.2. Are the toilets located away from the processing area to prevent contamination?
- 24.3. Whether the toilet rooms have walls washable, ceiling smooth and floors constructed of impervious material, and easy to clean and sanitise?
- 24.4. Are the toilets well lit?
- 24.5. Are they provided with self-closing doors, fly-proofing and flushing arrangements?
- 24.6. Are hand washing and sanitizing facilities, with wash-basins, soap, single use towels, nail brushes and adequate water supply provided near the toilets?
- 24.7. Are the taps of the wash basin foot operable?
- 24.8. Is waste bin provided for collecting used towels?
- 24.9. Are there sign boards directing employees to clean and sanitise their hands with soap/detergents/ disinfectants after using toilets?

25. Personal Hygiene

- 25.1. Has any person been made responsible for maintenance of personal hygiene of employees?
- 25.2. Are the workers apparently free from any form of communicable diseases, open sores and wounds or any other sources of contamination?
- 25.3. Are the workers medically examined periodically and whether individual health cards showing that the individual is fit to work in fish processing plant maintained?
- 25.4. Are prophylactic injections being administered to the plant employees and records thereof included in the individual cards?

25.5. Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhea or any other communicable diseases in their homes?

25.6. Are workers medically examined after each absence due to illness from any contagious disease?

25.7. Are the workers provided with sufficient sets of clean work dress and headgears?

26. Cleaning and Disinfection of plant, equipment and utensils

26.1. Is there a documented procedure for cleaning and disinfections of plant, equipment and utensils?

26.2. Is the cleaning schedule exhibited prominently?

26.3. Is there an area earmarked for cleaning and disinfection of utensils and equipment?

26.4. Are facilities of cold/hot water/steam under pressure, wherever appropriate, provided for cleaning and disinfection?

26.5. Is any person made responsible for supervising this work ?

26.6. Is the effectiveness of cleaning verified periodically through laboratory tests?

27. Changing Room

27.1. Are separate changing rooms of adequate size proportionate to the number of workers provided for male and female workers?

27.2. Whether changing room is integrated into the plant layout properly?

27.3. Does the changing room have smooth walls, floors and wash basins with soaps, disposable towels, nail brushes and non-hand operable taps?

27.4. 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

27.5. Is there suitable in-house arrangement to launder the working clothes of the workers?

27.6. Is the changing room provided with flush lavatories? Is it kept clean and sanitised?

27.7. Does the door of the lavatory open directly to processing area?

28. Maintenance Schedule

28.1. Whether there is a documented maintenance procedure for different sections/equipment/ Machinery, laboratory items etc.

28.2. Whether maintenance records are kept?

28.3. Whether all the equipment are marked with identification number?

29. HACCP

29.1. Has the own check system based on HACCP implemented?

29.2. If so, has the HACCP manual been submitted to the competent authority for approval?

29.3. Whether persons responsible have been identified?

29.4. Whether records are maintained for this purpose?

29.5. Whether the frequency of monitoring of critical limits at CCP is adequate as evidenced by the actual observation?

29.6. Whether breakdowns and malfunctions are recorded?

29.7. Whether there is a provision to review and revise procedure and frequency?

30. Rodent/Vermin Control

30.1. Is there any documented procedure for vermin control?

30.2. Whether responsibility has been fixed for this work?

- 30.3. Whether vermin/rodent control carried out by own arrangement or through outside agency?
- 30.4. Whether bait map showing serially numbered bait stations has been provided?
- 30.5. Whether chemical/rodenticides are approved by the competent authority?

31. Transportation

- 31.1. Is the unit having adequate facilities for transport of raw material and finished products?
- 31.2. If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated boxes are provided?
- 31.3. Are the vehicles insulated/refrigerated?
- 31.4. Are they constructed in such a way to facilitate easy cleaning and sanitisation?
- 31.5. Is there separate arrangement for cleaning and sanitisation of transport vehicles?
- 31.6. Are the records of the above maintained?
- 31.7. Whether such arrangement creates environmental problems?
- 31.8. Are the vehicles cleaned and disinfected periodically?
- 31.9. Whether there is a documented procedure for cleaning the vehicles?

32 Inspection and Testing

- 32.1. Is the unit having in-house facilities for inspection and testing?
- 32.2. Is the unit having separate qualified and competent personnel for conducting physical, chemical and microbiological tests?
- 32.3. Are there separate technologists for supervision of processing and for conducting laboratory tests?

33. Any other relevant information

Recommendations of the Inter Departmental Panel (IDP)	
<u>Name of the Establishment</u>	
Location	
<u>Processor Code No., If any already allotted by EIA</u>	
<u>Nature of activities of the unit</u>	Packing of Fresh / Chilled F&FP
<p>The above processing Establishment may not be approved to handle 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.</p>	
Or	
<p>The above processing Establishment may be approved on conditional basis to handle fish & fishery product for export under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.</p>	
Countries to which the above unit is eligible to handle fishery products for export	All countries including the European Union (EU) Countries other than EU.
Fishery Products which may be allowed to be handled in the above unit	Shrimps and other crustaceans Cephalopods Fish Others (Specify)
Operational freezing capacity of the unit	
Other remarks, if any:	

Signature

Name

Designation

Organization

Date

NON -CONFORMITY REPORT

Name of the Unit :

Signature

.....

Name

.....

Designation

.....

Organization

.....

Date

.....

Fully agree with the observations /recommendations of the IDP

Signature (representative of the unit)

Name

Designation

Date

Seal of the firm

**Amendment No.1 to Document No. EIC/F&FP/Ex.Inst. /August
2005/Issue 3**

1. A new sentence to be added at the end of the sub clause 4.1

If the establishment submits application for the approval of the additional facilities/ activities at the time of the renewal of approval, a fee of Rs.2000/- each shall be paid for the additional facilities/ activities and the renewal of approval respectively to the concerned EIA.

2. The sub Clause 7.1(iii) to be modified as follows;

Any other relevant documents (Ref: documents listed at Clause 2.1.3 d, f, h, l & j)

- 3 The last sentence of clause 10.2.1 (b) to be modified as follows:

The cost of testing of the 5 consignments shall be borne by the processor as per clause 17(2).

4. A new sentence to be added at the end of the clause 16.2.2.

In case the processor offers the consignments meant for export to Australia for inspection/ testing on voluntary basis for the purposes of issuance of health certificate, the inspection/ testing fee as per clause 17(2) shall be charged to the processor.

5. A new sentence to be added at the end of paragraph of the second bullet point under clause 18.2.

The cost of the testing of the consignments meant for EU and non-EU shall be borne by the processor as per clause 17(2)

- 6 The last sentence of the paragraph of clause 18.7.2 (a) to be modified as follows:

The testing fee/inspection/testing fee shall be charged to the processor as per clause 17(2).

- 7 The Clause 18.9.5 to be modified as follows;

The unit shall be taken off from the "On Alert" list only after monitoring and testing of consignments are found satisfactory as per clause 18.9.3 &18.9.4

8 Sub clause 18.9.6 (a) to be modified as given below:

The consignments meant for EU and Non EU destinations will be inspected code wise for organoleptic factors and in case of any doubt as to the freshness of the product, the same shall be tested for all bacteriological factors, TVB-N and TMA-N. The cost of testing shall be borne by the processor. No additional monitoring is required. (Refer Clause 18.2)

9. At annexure VIII & VIII (B) the following amendments to be made.

Copies of letters of approval of EU and non EU establishments may be marked to (1) the Director, EIC (2) the Joint Director, MPEDA, Kochi (3) the Officer Incharge (Concerned sub office) (4) Party file

10. At annexure IX, the wordings “ format to be typed on company letter head” given in brackets may be omitted

11. At clause 5.1.5 of the annexure X, the following sentence to be added in brackets

(If water and ice are tested within one year, the same need not be tested again.)

12. The last sentence of the annexure-XI-A to be modified as follows:

On receipt of your application complete in all respect, arrangements will be made to get your establishment/ factory vessel/ freezer vessel assessed by the Inter Department Panel of experts for considering suitability of renewal of approval. You shall ensure that the establishment has production at the time of actual assessment.

13. The format given at annexure-XXII-A to be replaced with the modified format enclosed.

14. The formats given at annexure XXVII-A, XXVII-B, XXVII-C and XXVII-D to be replaced with the modified formats enclosed.

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:

7. 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.
8. 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.
9. have undergone health controls in accordance with Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995.
10. 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.
11. do not come from toxic species or species containing biotoxin;
12. 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.

EXPORT INSPECTION AGENCY –

**Monthly report of supervisory / monitoring visits to the approved establishments for the month of.....
Products.....**

S.No.	Action taken	EU		Non-EU	
		Monitoring	Supervisory	Monitoring	Supervisory
1.	Number of visits planned				
2.	Number of visits actually conducted				
3.	Number of units which are satisfactory based on the visits				
4.	Number of units which are unsatisfactory based on the visits				
5.	Reasons for short fall, if any in supervisory /monitoring visits				
6.	Action taken in case of each unsatisfactory visit				
7.	Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.				

Place :

Signature :

Date :

Name :

Designation:

P.S.: Please use separate format for each product/category

EXPORT INSPECTION AGENCY

(CHANGES IN THE LIST OF APPROVED UNITS (EU & NON- EU IN THE CASE OF F&FP) FOR ALL PRODUCTS FOR THE MONTH OF -----)

S.no	AP.No.	Name & address of the establishment	Address of registered office	Category (Cold Storage/ Ice plant/PPC/ etc.)	Date of initial approval	Validity of approval up to and including	EU/non-EU
1	2	3	4	5	6	7	8

Place :

Signature :

Date :

Name :

Designation:

Annexure –XXVII C

EXPORT INSPECTION AGENCY –

**Details of Health Certificates/Certificate of Analysis Issued during the month _____
for consignments of Fishery Products which have been tested for Antibiotics/other
parameters**

S.no	Ap.no	Country of destination	No. of consignments with quantity & value	Number of certificates issued	Residues tested with results	Test method and sensitivity	Laboratory	Remarks
1	2	3	4	5	6	7	8	9

Place :

Signature :

Date :

Name :

Designation:

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

Month:

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

Place :

Signature :

Date :

Name :

Designation:

**Amendment No.2 to Document No. EIC/F&FP/Ex.Inst./August
2005/Issue 3**

1. A new paragraph to be incorporated after the clause 9.1.9 (ix) as given below:

NOTE: THE SAMPLES DRAWN DURING THE SURVEILLANCE VISITS OR FOR ANY OTHER PURPOSE SHALL BE SEALED PROPERLY BY THE CONCERNED OFFICER 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 SEND THROUGH COURIER/SPEED POST, IT SHALL BE THE RESPONSIBILITY OF THE CONCERNED OFFICER TO ENSURE THAT THE SAME IS DESPATCHED PROPERLY. MOREOVER, IT MAY BE ENSURED THAT THE TEST REPORTS OF THE LABS SHALL BE RECEIVED BY THE CONCERNED EIA DIRECTLY FROM THE LAB.

2. A NEW SENTENCE TO BE ADDED AFTER THE CLAUSE 16.3 AS GIVEN BELOW:

NOTE: THE CERTIFICATE OF ANALYSIS AS PER ANNEXURE XXVIII SHALL BE ISSUED FOR THE EXPORT OF THE PARTICULAR CONSIGNMENT WHICH HAS BEEN SATISFACTORILY ANALYSED FOR ALL SPECIFIED PARAMETERS AS A SINGLE LOT.

**Amendment No.2 to Document No. EIC/F&FP/Ex.Inst./August
2005/Issue 3**

1. A new paragraph to be incorporated after the clause 9.1.9 (ix) as given below:

NOTE: *THE SAMPLES DRAWN DURING THE SURVEILLANCE VISITS OR FOR ANY OTHER PURPOSE SHALL BE SEALED PROPERLY BY THE CONCERNED OFFICER 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 SEND THROUGH COURIER/SPEED POST, IT SHALL BE THE RESPONSIBILITY OF THE CONCERNED OFFICER TO ENSURE THAT THE SAME IS DESPATCHED PROPERLY. MOREOVER, IT MAY BE ENSURED THAT THE TEST REPORTS OF THE LABS SHALL BE RECEIVED BY THE CONCERNED EIA DIRECTLY FROM THE LAB.*

2. A NEW SENTENCE TO BE ADDED AFTER THE CLAUSE 16.3 AS GIVEN BELOW:

NOTE: *THE CERTIFICATE OF ANALYSIS AS PER ANNEXURE XXVIII SHALL BE ISSUED FOR THE EXPORT OF THE PARTICULAR CONSIGNMENT WHICH HAS BEEN SATISFACTORILY ANALYSED FOR ALL SPECIFIED PARAMETERS AS A SINGLE LOT.*