Voluntary Certification Scheme
on
Food Commodities

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1. INTRODUCTION

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

In order to facilitate the smooth functioning of the export from India in the present scenario of the international trade, in order to certify quality of food commodities, a general voluntary scheme has been developed. This scheme allows for two systems of inspection & certification , namely i) Consignment Wise Inspection (CWI) System and ii) Food Safety Management Based Certification (FSMSC) System.

2. SCOPE

The scheme covers all food commodities which are not covered under any other notified or non notified export certification system. Certification/approval of processing units granted under Food Safety Management based Certification (FSMSC) System may be for the specific product(s) and country(s).

3. CONSIGNMENT WISE INSPECTION (CWI) SYSTEM

3.1 General

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

3.2 Criteria for conformity / basis of inspection

- Implementing GHP in Processing, Packaging or Storage, as applicable.
- Product conforming to importing country's requirement/Codex requirement/ buyer's requirement/standards if not less than the importing country's requirement/ relevant National standards as applicable.

3.3 Packing

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

1) Name & address of the exporter
2) Variety & grade (if any)
3) Lot No.
4) Gross mass & net mass

5) Country of Origin
6) Shipping Mark
7) EIC/EIA Logo

3.4. Procedure to be followed

3.4.1 ***Notice of Inspection***

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

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

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

3.4.2 ***Place of inspection***

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

3.4.3 Procedure of inspection

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

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

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

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

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

3.4.3.5 If the lot, after analysis of sample, does not conform to the specifications given in the standards applicable, it will be rejected and a rejection letter as given at **Annex V,** will be issued with clear mention of the reasons for rejection The exporter/processor may at his discretion further reprocess the lot and resubmit application for Inspection under the CWI System, along with the required inspection fee.

3.4.4 Testing of samples in the laboratory

The samples received in the laboratory will be analysed for different parameters mentioned in the in laboratory intimation format, which shall be based on standards of the importing country or Codex standards or standards required by a buyer subject to these being not lower than those of the importing country. In case none of the standards exist, testing can be done as per the relevant National standards (BIS/AGMARK/PFA). Lab report will be submitted to EIA. Laboratory testing charges will have to be borne by the applicant (exporter/processor).

3.4.5. Certificate of inspection

3.4.5.1 Export Inspection Agency will issue the "Certificates of Inspection" as per **Annex IV** after the consignment/lot(s) has/have duly passed. The first two copies of the certificates will be given to the exporter, third copy sent to Export Inspection Council, New Delhi and the fourth copy retained by the Agency for its official records.

3.4.5.2 Validity of certificate of inspection

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

3.4.6 Issuance of health certificate & attestation

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

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

4 FOOD SAFETY MANAGEMENT BASED CERTIFICATION (FSMSC) SYSTEM

4.1 Criteria for conformity/ basis of certification

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

4.2. Scope of approval

Approval of processing units under Food Safety Management based Certification (FSMSC) System may be granted for the specific products and country(s), if requested for by applicant (see **Annex VII**.)

4.3 Procedure for application for approval under FSMSC system

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

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

4.3.3 The application shall be accompanied by the following documents:

a) Brief description of the product as well as detail of processing.
b) Operation manual / HACCP manual(if existing), including Sanitary Standard Operating Procedures(GMP/GHP broadly as per Codex guidelines) and an organisational chart.
c) Certified copy of the test report issued not later than six months in respect of water used for processing in the plant used for processing .
d) Layout plan of the establishment in A-4 size paper.
e) Process flow chart.
f) Plumbing diagram.
g) List of machineries involved in manufacturing.
h) Testing facilities in plant
i) Certified copies of documents proving legal identity of the applicant's plant and scope of their operations.
j) Certified copy of lease agreement for the premises and building, where necessary.
k) Bio-data of the technologist(s)/ chemists working in the plant.

4.4. Processing the application for approval

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

4.4.2 The application, complete in all respects, shall be forwarded to the Convenor of the Assessment Panel for arranging assessment of the unit. Convenor AP shall be an officer of EIA, not below the rank of Deputy Director nominated by the Joint Director, EIA .

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

4.6 Validity of approval

The validity of "Certificate of Approval" shall be for a period of ***two years*** from the date of issue of the letter of approval by the EIA.

4.7 Renewal of approval of approved plants

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

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

4.8 Monitoring and control

4.8.1 Monitoring by establishment/processor

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

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

- Hygienic requirements relating to the premises
- Structure and layout.
- Pest control (Prevention, extermination, use of chemicals).

- Maintenance
- Cleaning and sanitation
- Personnel hygienic
- Rest rooms
- Water management
- Chemicals
- Lighting and ventilation
- Waste disposal including effluent treatment
- Good Manufacturing Practices (GMP)
- Packing

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

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

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

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

4.8.2. Monitoring by EIAs

4.8.2.1 EIAs shall carry out monitoring by deputing an officer at a frequency of minimum ***once in three months*** depending upon the performance of the unit, for an inspection of the unit, which may include :

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

Frequency of monitoring may be reduced to once in six months based on satisfactory performance over a period of one year. Satisfactory performance would mean all monitoring

reports satisfactory, all samples tested are passing & no complaints or rejections have been received.

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

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

4.8.3 Suspension & withdrawal of approval

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

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

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

4.9 Issuance of certificate of inspection

In case the approval is product/country specific, the approved units shall issue "Certificate of Inspection" for the export consignment only for the product (s) and country (s), as per approval granted by EIAs. Blank Certificates books may be obtained from the concerned Export Inspection Agency at a cost of Rs.20/-. EIAs will issue blank certificate forms (format attached at **Annex-XV**) to the approved units on demand, subjected to availability and upon the unit meeting the eligibility conditions for receiving the same.

4.10 Validity of certificate of inspection

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

4.11 Issuance of health certificate & attestation

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

- Copy of the Certificate of Inspection for the concerned consignment issued by the processor
- Testing data of the parameters described in standard.
- Laboratory test reports for the additional parameters to be included in the health certificate clearly indicating the compliance of the consignment as per the requirement(s) of importing country/codex.

A fee of Rs. 200/- will be charged for each health certificate.

5 CERTIFICATION FEE

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

A) In Case of Consignment Wise Inspection (CWI) : @ 0.4 % of FOB value of consignment.
B) In Case of FSMSC : @ 0.2 % of FOB value of consignment

5.2 Mode of payment

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

6 APPEAL

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

APPENDIX -- A

PRACTICES TO BE FOLLOWED BY "FSMSC" CERTIFIED EXPORT ESTABLISHMENTS

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

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

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

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

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

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

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

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

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

A.8 ***Record of technologists :*** Processing establishments should have sufficient number of technologist(s) handling the responsibilities at critical positions. List of technologist(s) stating

their name, qualification and job responsibilities should be submitted to Assessment Panel (AP) for spot verification during visit which will be subsequently verified in monitoring visits by EIA officials also.

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

ANNEX – I

Application for Inspection under CWI System

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

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

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

Other Revelavent Information 21

Declarations: Certified that the goods mentioned above have been manufactured/ produced to satisfy the conditions relating to quality control/inspection and consignment conforms to the specification.

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

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

Signature & Date

ANNEX : II

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

LABORATORY INTIMATION FORMAT

Product:

Code of Sample:

Sampling done on:

Parameters to be tested:

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

Note, if any :

Signature:

Name of Inspecting Officer:

Date:

Place:

ANNEX-III

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

FIELD INSPECTION AND QUALITY CONTROL REPORT (FIR)

Book No.

1 . Name and address of exporter :

2. Name & address of packer :

3. Product & Type :

4. Type of Packages :

5. No. of packages and quantity :

6. No. of samples analysed :

7. Application No./ Lot No. :

8. Shipping mark :

9. Country of Destination :

10. Details of Inspection carried out & outcome :

11. Hygienic condition of the premises where consignment is stored :

12. EIC Seal No :

Place: Signature:

Date: Designation:

Time:

ANNEX – IV

CERTIFICATE OF INSPECTION

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

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

Remarks, if any Stamp for FOB Revision 15

CERTIFICATION UNDER CONSIGNMENT WISE INSPECTION (CWI) SYSTEM

SEAL OF THE ISSUING AUTHORITY

It is hereby certified, on the basis of controls carried out, that the commodities as per details given herein are in conformity to specifications prescribed under i) importing government requirements; ii) international standards; iii) buyers requirement (not less than importing govt. requirements); iv) domestic Indian standards.

Signature

Name

Designation Accordance with the standard
Date

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

ANNEX-V

REJECTION LETTER

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

No: EIA/

To

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

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

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

Sir,

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

Reason (s) for rejection

1)

2)

3)

4)

Yours faithfully

Joint Director

ANNEX - VI

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

(General - Applicable for all food items other than those where specific formats are prescribed)

Country of despatch: **India**

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

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

1. **Details identifying the products**

Description

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

2. **Provenance of products**

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

Approval No. of the plant(s)

3. **Destination of the products**

a. The products are to be despatched

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

4. Health Attestation

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

Place of issue: Signature of authorised officer

Date of issue Name:
Seal Designation:

ANNEX - VII

APPLICATION FOR APPROVAL

From

.....……..
…….....……
…….....……
.....

To

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

Sir,

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

1.	**General Information**	
1.1	Name and address of the plant seeking approval with Fax no. and E-mail address	
1.2	Name of the Chief Executive (MD/Mg. Partner/Proprietor)	
1.3	Is the processing plant owned or leased by the applicant	Owned/leased
1.4	If leased, name of the plant owner, plant name and address	
1.5	Year of Construction	
1.6	Year of last major alteration	
1.7	Approval requested for export/ processing of product(s).	
1.8	Approval requested for country(s).	
1.9	Annual production during the previous year Others related items (Specify)	
1.10	Total export in the previous year (a) Name (s) of countries to which export made	
1.11	Whether all year production or seasonal production	
1.12	Details of licenses/certificate issued by any competent authority.	
2.	**Water**	
2.1	Is there a documented water management system?	
2.2	Whether it is safe for processing and human consumption?	
2.3	Is any scientific quality assurance is existing for water management?	
3	**Information about personnel**	

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

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

Kindly carry out an assessment of our plant. we enclosed herewith a demand draft No. ..... dated ..... for Rs. .....

Yours faithfully,

Place:
Date:
Check list of enclosures.

Signature
Name
Designation
Company Seal

ANNEX-VIII

ASSESSMENT REPORT BY ASSESSMENT PANEL (A P) FOR APPROVAL & RENEWAL

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

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

Name & Designation of AP Members:

1).....

2).....

All the information given under following heads are correct as per Annex I, and in accordance with the standards of the importing country or Codex standards or standards required by the buyer or as per the relevant National standards (BIS/AGMARK/PFA). If not Observation / Discrepancies are as :		
1.	**General Information**	**Satisfactory/ Not Satisfactory**
1.1	Name and address of the plant seeking approval with Fax no. and E-mail address	
1.2	Name of the Chief Executive (MD/Mg. Partner/Proprietor)	
1.3	Is the processing plant owned or leased by the applicant	
2.	**Water**	**Satisfactory/ Not Satisfactory**
2.1	Is there a documented water management system?	
2.2	Whether it is safe for processing and human consumption?	
2.3	Is any scientific quality assurance is existing for water management?	
3.	**Information about personnel**	**Satisfactory/ Not Satisfactory**
3.1	No. of technologists available in the establishment	
3.2	Name and qualification of the technologist(s) supervising the processing and related operations (Attach separate as Annex)	
3.3	Total work strength	
4.	**Raw Material**	**Satisfactory/ Not Satisfactory**
4.1	Source of Raw Material	
4.2	Are there any arrangements for traceability of the raw material, if so, details of the same?	

4.3	Are the records for the above maintained properly?	
5	**Surroundings**	**Satisfactory/ Not Satisfactory**
5.1	Are the surrounding neat & clean and safe for processing ?	
5.2	Surroundings are free from any contamination	
5.3	Are the surrounding is free from any toxic/chemical producing Industry?	
6.	**Construction and Layout**	**Satisfactory/ Not Satisfactory**
6.1	Is the building construction of permanent nature?	
6.2	Is the design and layout as per scientific norms?	
6.3	Which standards are used for designing?	
7.	**Plant Facilities**	**Satisfactory/ Not Satisfactory**
7.1	Plant Facilities are adequate and as per Annex I	
7.1	Are the facilities enough to produce safe food for human consumption?	
8.	**Raw Material Receiving Section**	**Satisfactory/ Not Satisfactory**
8.1	Are there adequate facilities available in raw material receiving section?	
8.2	Is raw material storage separated by finished product storage?	
9.	**Washing and Sanitizing facility**	**Satisfactory/ Not Satisfactory**
9.1	Whether washing, cleaning and sanitizing facilities are adequate to support safe processing?	
9.2	Sanitizers/chemicals are labeled and stored separately?	
10.	**Doors/Window/Floor/Cieling/Walls**	**Satisfactory/ Not Satisfactory**
10.1	Are they clean and sufficiently wide, made of durable material which is safe for processing plant facilities?	
10.2	Are the windows are wire meshed to protect flies?	
10.3	Are floor, cieling and walls are properly plastered painted and tiled as per requirements?	
11.	**Drainage**	**Satisfactory/ Not Satisfactory**
11.1	Are the drains of adequate size having sufficient slope and easily clearable and sufficient enough as per hygienic conditions?	

11.2	Whether unit has proper waste disposal system?	
12.	**Lights/Ventilation**	**Satisfactory/ Not Satisfactory**
12.1	Are these adequate and as per the requirements of standards.	
12.2	Are the lights are properly covered?	
12.3	Are the ventilators properly wire meshed?	
13	**Utensils and Equipment**	**Satisfactory/ Not Satisfactory**
13.1	Are all receptacles, trays, tanks, cutting equipments and utensils used made of non-corrodible material, other than wood and have smooth surface free from cracks and crevices	
13.2	Are the utensils made of food grade material?	
13.2	Whether proper cleaning system is in practice?	
14	**Packaging**	**Satisfactory/ Not Satisfactory**
14.1	Are the packing facilities adequate ?	
14.2	Are the labels are as per National/ Buyer/ Codex Requirements.	
14.3	Whether food grade packing materials are used?	
15	**Storage**	**Satisfactory/ Not Satisfactory**
15.1	Are the storage condition safe and designed scientifically, considering food safety norms?	
15.2	Whether wall, sealing and floors are properly plastered?	
15.3	Whether products are kept on pellets to maintain proper distance from floor and wall?	
16	**Personal Hygiene**	**Satisfactory/ Not Satisfactory**
16.1	Whether staff has been given enough training in this regard?	
16.2	Is personal hygiene is being maintained?	
16.3	What is unit plan to achieve more hygienic environment of unit.	
17.	**Effluent Treatment**	**Satisfactory/ Not Satisfactory**
17.1	Is the unit having an efficient effluent treatment system?	
17.2	Does it comply with the statutory requirements	
18	**Maintenance Schedule**	**Satisfactory/ Not Satisfactory**
18.1	Is there a documented maintenance procedure for different sections / equipment / machinery, laboratory items etc.	
18.2	Whether maintenance records are kept?	

18.3	Whether unit has preventive maintenance schedule?	
19	**HACCP/GHP/GMP**	**Satisfactory/ Not Satisfactory**
19.1	Whether unit is HACCP certified, if yes by whom?	
19.2	Whether unit apply GMP/GHP in processing facilities?	
19.3	Whether GMP/GHP are as per Codex requirement?	
20	**Rodent / Vermin Control**	**Satisfactory/ Not Satisfactory**
20.1	Whether adequate rodent and pest control facilities are maintained?	
20.2	Whether pest control facilities are maintained by unit or contracted?	
20.3	Is there any mechanism to verify pest control effectiveness?	
21	**Inspection and testing**	**Satisfactory/ Not Satisfactory**
21.1	Is the unit having in-house facilities for inspection and testing?	
21.2	Test of finished products are done as per National/Buyer/Codex.	
21.3	Does unit have enough equipments required for testing as per **Importing Country/Codex/Buyer/National**	

Recommendations of the Assessment Panel (AP) ***members:***

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

or

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

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

Suggestions for improvement, if any:

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

List of enclosures.

ANNEX-IX

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

Letter No. Dated

To
M/s

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

Sir,

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

1. Name & Address of the establishment:

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

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

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

The establishment shall, henceforth, come under the purview of monitoring by EIA, as per the EIC's Voluntary Certification Scheme.

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

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

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

Yours faithfully,

Joint Director, EIC

CC:
1)
2)
3)

ANNEX – X

EXPORT INSPECTION COUNCIL OF INDIA

Ministry of Commerce & Industry
Govt. of India

Certificate of Approval

……
(Name of the Plant)

having their registered office at …….
(Address of the registered office)

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

valid up to and including …….. under Approval No. ***VCS-...-…/…..***

for processing of ……to ……..……
(Product(s)) (Country (s))

in its plant situated at

……,
(Location of the Plant)

for exports.

subject to the conditions that the processing plant should continue to meet the requirements of
EIC's Voluntary Certification Scheme on Food Commodities

Place: New Delhi

Date: …….

Signature

Name : Ms Shashi Sareen
Designation : Director (I &QC)

NDYMCA Cultural Center Building, III Floor
1 Jai Singh Road, New Delhi-110001
Tel: 0091-11-23365540, 23748189, Fax: 0091-11-23748024
E-mail: eic@eicindia.org

ANNEX - XI

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

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

No. : EIA/ Date :

To

M/s

Dear Sir,

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

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

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

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

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

Yours faithfully

Joint Director

Encl : As stated.
Copy to:

ANNEX –XII

FORMAT FOR APPLICATION FOR RENEWAL OF APPROVAL OF PLANT

To

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

Sir,

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

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

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

Thanking you

Yours faithfully

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

Place:
Date:

ANNEX –XIII

MONITORING VISIT REPORT PROFORMA

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

1. Date of the Monitoring Visit
2. Name of the Processing Plant
3. Approval Number
4. Scope of the approval (Products Name)
5. Product being Processed at the time of Visit
6. Name and Designation of the monitoring Officer(s) last visited

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

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

6.	**Restrooms**		
6.1	Number of functional toilets are sufficient.		
6.2	Adequate supplies of water soap etc.		
7	**Water supply**		
7.1	Safe water supply for processing.		
7.2	Protection against backflow, back-siphon age, or other sources of contamination.		
7.3	Whether supply of hot water or cold water is adequate		
8.	**Processing**		
8.1	Product is manufactured as per National/Buyer/Codex.		
9.	**Chemical**		
9.1	Chemical(s) improperly used or handled		
9.2	Chemical(s) improperly labeled		
9.3	Chemical(s) improperly stored.		
10.	**Ventilation**		
10.1	Processing area is properly ventilated		
10.2	Areas directly affecting product or packaging material are properly ventilated		
10.3	Other.		
10.4	Adequate air exchanger exist.		
11	**Waste Disposal**		
11.1	Adequate arrangements are made for disposal of waste water		
11.2	Sewage		
11.3	Processing Waste.		

II	**COMPLIANCE TO GMP / GHP / HACCP PLAN**		
1	**Records**		
1.1	Records are up to date		
1.2	Records are accurate		
1.3	Records are available during monitoring		
1.4	Any documents or records not conforming to requirements		
2.	**Procedure**		
2.1	Preventive measures are followed		
2.2	Monitoring procedures are followed		
2.3	Corrective action taken against to fault.		
3	**Other**		
3.1	Any modification made in GMP/GHP/HACCP Plan		
3.2	Procedure is maintained by trained personnel		
3.3	Any other modification		
III	**TESTING STATUS**		
1.	**Raw Material Testing**		
1.	Raw Material Control is Proper		
2.	Parameters are tested as per standards		
3.	**Finished Product testing.**		
	Whether finished product is tested for parameters defined as per standards		
4	**In-house Lab**		
4.1	Whether in house testing facility is available in the plant.		

4.2 **IV.** **V**	Whether testing is according to standards. Testing of sample during visit, if facilities available. Details of samples drawn during testing and labs to which sent		

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

Any other relevant information

Recommendations

- Overall Rating – Satisfactory/unsatisfactory

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

Signature:_____

Name _____

Date Place Designation:_____

Remarks of EIA :

Signature:

Name :

Designation :

Date :

Place :

ANNEX-XIV

CORRECTIVE ACTION REPORT (CAR)

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

Name of the processing establishment.:
Products handled :

Approval No.

Nature of Inspection
Routine monitoring/
Any other:

Date of Visit:……

Name and Designation of the Officer (AP/EIAs) | Name of the Representative of the establishment with designation | Department

…….

i. Details of discrepancy / variation observed

……

ii. Comments / Agreed action

…….

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

Signature ……. Signature ……..

Name …….. Name ……

Designation ……. Designation ……

(EIA Representative) (Representative of the establishment)

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

ANNEX – XV

CERTIFICATE FOR EXPORT

1. Name and Address of the Exporter	4. Invoice No. and Date	
2. Name and Address of the Approved Processing Unit	5. Buyer's Order No. and Date	6. Country of Destination
3. Details of Stamp on Export Packages  Approval No:.....	7. Certificate No.: ..... 8. Validity Upto and Including: ..... *(45 days from the date of Issue)*	

8. Specification Reference

10. Shipping Marks	11. No. and kind of Pkgs.	12 Description of Goods(*)	13. Quantity	14. FOB Value

15. DECLARATION

The undersigned hereby declares:

(i) that the above consignment has been processed in our processing establishment which has valid approval and is under continuous monitoring of Export Inspection Agency- ..... as per the EIC's Voluntary Certification Scheme on Food Commodities.

(ii) that the consignment is exportworthy.

Seal of the Processing Unit

.....
(Signature)

.....
(Name)

.....
(Designation)

Place: ..... Date: .....

Description should include grade, size and brand, if any.