1. INTRODUCTION

The requirements for the approval of captive / detached captive Pre-Processing Centre have been specified in the Document No. EIC/F&FP/Ex. Inst./August/ 2005/Issue 3. Accordingly, captive / detached captive Pre-Processing Centres are being approved and monitored by the Export Inspection Agencies (EIAs). However, based on the experience gained for the past 7 years and also based on the new requirements of the EU, these instructions are now been revised for compliance by all concerned for independent PPC.

1.1 The EU approved Independent Pre-Processing Centres are permitted to pre-process fish and fishery products for catering the same to either EU or non-EU approved establishments, whereas non-EU approved Pre-Processing Centres can pre-process fishery products for catering the same to non-EU approved establishments only.

1.3 The Primary responsibility for meeting the requirements of GOI Notification and also the quality and safety of the products pre-processed lies with the approved PPC themselves, for which these establishments are required to plan and implement HACCP based "Own Check System" and to maintain necessary records. The role of Export Inspection Council of India (EIC)/Export Inspection Agencies (EIAs) is to exercise Official Control by approving the Pre-Processing Centre and implementing an effective surveillance system to ensure compliance to requirements of GOI Notification No. S.O. 730 (E) dated 21 August 1995.

2. PROCEDURE FOR APPROVAL OF PRE-PROCESSING CENTRE (PPC)

2.1 Application for approval

2.1.1 The pre-processing centre seeking approval to pre-process fish and fishery products for supplying to approved EU / Non EU establishments shall submit the application for approval in the prescribed format placed at **Annexure - I (Page. 20-35)** in duplicate along with documents given at 2.1.3 to the nearest office of EIA under whose jurisdiction the pre-processing centre 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:

a) HACCP Manual
b) Layout plan of the Independent PPC (site plan and building plan preferably in A-4 size).
c) Attested/ Certified copies of documents proving legal identity of the applicant Independent PPC **or**
d) Attested/ Certified copy of lease agreement for the premises and building, wherever necessary.

e) Attested/Certified copy of registration certificate issued by MPEDA (If not available at the time of applying for approval, this may be submitted before grant of approval).

f) An undertaking & guarantee in the format placed at **Annexure – II (Page -36) & Annexure – III (Page - 37)**

g) In the case of PPC meant for pre-processing F&FP for further processing 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 pre- 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 PPC meant for pre-processing F&FP 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/ representative of approved laboratory and tested in any of the labs of EIAs/CIFT or EIC recognised labs.

h) Plumbing diagram of water showing water taps, sewage and rainwater

i) 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.

j) 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).

k) Certified copy of contract for ice supply (in case PPC does not have the ice plant) from EIA approved Ice plant.

Note In case where a non-EU approved independent pre-processing centre submits application for the approval to pre-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 applicant for rectification. The application complete in all respect along with the HACCP manual shall be forwarded to the Head Office of the Agency within 7 days after receiving it complete in all respect.

An assessment of the HACCP manual and SSOPs (desk audit) shall be carried out by the EIA officer(s) authorized by in charge of the Agency and after assessment, the HACCP manual and 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. Application 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 pre-processing centre.

2.3 Assessment of the pre-processing centre (PPC)

2.3.1. The convener of IDP shall ensure that assessment of applicant pre-processing centre is carried out within 15 days of receipt of their application complete in all respect.

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

Once conditionally approved by the Competent Authority, the PPC will be allowed to start pre-processing of F&FP meant for further processing by approved establishment and the PPC shall intimate the Agency as soon as production has started. While the pre-processing activities are in progress, the IDP shall visit the PPC once again to assess the pre-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 PPC by the Competent Authority.

However, in cases where a non-EU approved PPC submits application for the approval to pre-process F&FP for supply to processing establishments 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 PPC. In such cases, the PPC 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 in charge 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 enough qualification/experience in fish / food schemes.

Note: (a) In the case of Independent pre-processing centre seeking approval for pre-processing F&FP meant for EU, the present IDP comprises representatives from EIA, CIFT & MPEDA, while in the case of units

seeking approval for pre-processing F&FP meant for only Non-EU countries, in place of CIFT a representative of the Sea Food Exporter's Association of India (SEAI) will be included in the IDP.

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

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

2.3.2.3 The IDP shall assess the applicant PPC in two stages. While in the first stage the infrastructural facilities of the PPC and their compliance to the laid down norms are assessed, in the second visit the HACCP implementation of the PPC is assessed by the IDP. (production activity shall be in progress during second visit)

2.3.2.4 In case of fresh approval of Pre-Processing Centre, a 'conditional approval' for a period of 3 months, which can be extended for a maximum period of 6, is given after the satisfactory assessment of infrastructural facilities and 'full approval' is given after the satisfactory assessment of the HACCP implementation of the PPC. However, in case a non-EU approved independent PPC wants approval to pre-process F&FP for the EU, conditional approval is not required. In such cases both the stages of assessment can be done simultaneously.

2.3.3 The IDP shall assess the infrastructural facilities of pre-processing centre, for which the prescribed assessment report format placed at **Annexure– IV (Page No. 38-52)** shall be used for reporting its observations. While assessing the HACCP implementation of the PPC, the IDP shall use the HACCP audit format placed at **Annexure-IV-A (Page No. 53-66)** .The requirements for the approval of the Independent pre-processing centre to pre-process F&FP meant is enclosed at **Annexure- V (Page no. 66- 68)**.

In case the IDP finds any deficiency during its assessment, the same shall be recorded in the Non-Conformity Report (NCR), **Annexure VI (Page No. 69)** which shall be counter signed by the representative of the PPC as a token of acceptance. A copy of the NCR may be handed over to the representative of the PPC along with the observation for improvement, if any.

The IDP convener 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 PPC. In case verification of the deficiencies is needed the same may be undertaken as per the time frame prescribed by the Panel (maximum 3 months) by the IDP or by the convener of the IDP as decided by the IDP. The recommendations of the Panel shall clearly state whether the applicant's PPC is recommended for conditional approval/ full approval or not.

2.3.4. The report of the IDP visit shall be examined by the in charge of the concerned Export Inspection agency.

2.3.4.1. In case the IDP recommends the PPC for conditional approval/full approval, & if agreed to, by the In-charge of EIA, the DD In-charge of FFP/ Food scheme, shall take following actions:

a. Allot an approval number to the PPC as per the following manner.

- EIA-Mumbai – MUM: PPC - Approval No.
- EIA-Chennai- CH: PPC - Approval No.
- EIA-Kochi - KOC: PPC - Approval No.
- EIA-Kolkata - KOL: PPC - Approval No.

(For example MUM: PPC - 1, MUM: PPC – 2, and so on)

b. Open a file with 3 parts: Part A, Part B & Part D.

"Part A" shall bear the approval number followed by suffix "A" (e.g. MUM: PPC – 1 (A)). This file shall contain approval documents such as application for approval/renewal, IDP assessment reports and other correspondence relating to the unit.

"Part B" file shall bear the approval number followed by suffix 'B'. (e.g. MUM : PPC – 1 (B)).This file contains copies of monitoring reports, lab reports, supervisory visit reports, NCR (Non Conformity Report), observations for improvements etc.

"Part D" file shall bear approval number with suffix 'D'(e.g. MUM : PPC – 1 (D)) and have details of foreign Complaint received to the processing establishments to whom the pre processed material was supplied, including all relevant papers and details of action taken thereof.

All records of File A & D shall be kept till the approval of Pre-Processing Centre exists. However records of File B shall be kept for at least three years.

c. In case of PPC meant for pre-processing F&FP for export to only non-EU countries, the Conditional approval is granted by the In-charge of the Agency for a period of two years from the date of approval. The approval shall be intimated to the establishment.

d. In the case of PPC meant for pre-processing F&FP for export to all countries including the EU, the In-charge of the Agency shall send the recommendations to EIC in the prescribed format placed at **Annexure VII** (**Page. No. 70**), within three working days on receipt of the IDP report, forwarding copy of IDP report (s).

2.3.4.2 In case the IDP does not recommend approval and if agreed to by the In-charge of the EIA shall convey the same to the applicant, within seven days of the receipt of the IDP report, the reasons for which applicant PPC has not been considered fit for approval in the prescribed format **Annexure – VIII (Page No. 71)**.

2.3.5. Action to be taken by Export Inspection Council (EIC) in case of PPC meant for pre-processing F&FP for EU.

(i) On receipt of the recommendation of the In-charge of the concerned EIA, EIC shall process the same for the approval of the Director (I&Q/C).

(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 in charge of the Agency, who in turn shall inform the unit.

2.3.6 Once fully approved / conditionally approved, the PPC shall be allowed to pre-process fishery products in their PPC for supplying to the approved F & FP establishments.

2.3.7 As soon as the PPC starts pre-processing 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 PPC. The PPC should have activity of pre-processing in their unit at the time of IDP Visit. Assessment of high risk products shall be given due consideration. This is necessary if the PPC is pre-processing many products.

2.3.8 The IDP shall conduct the HACCP audit and submit its report to the in charge of the Agency in the prescribed format placed at **Annexure-IV-A (Page no. 53-66)**. 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 convener 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 PPC and submit report to the In-charge of the Agency.

2.3.10 In case of PPC meant for supplying pre processed product for further processing by non-EU establishments, the In-charge of the Agency shall grant the full approval of the PPC for a period of two years from the date of the conditional approval, which shall be intimated to the unit. However, in the case of PPC 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 PPC. 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 – IX (Page No. 72)** and sent to the PPC 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 PPC.

ii) Once the Director (I&QC), grants the full approval to the PPC, the existing list of the PPC shall be updated by including the name of this PPC and a copy of the updated list along with specific recommendation for approval shall be submitted to MOC&I for onward transmission to EOI Brussels. for taking up the matter with EC for issuance of notification, with copies to MPEDA, SEAI, 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 and to the concerned sub-office with an endorsement to EIC as per **Annexure X (Page No. 73-74)**

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 XI (Page No. 75)** 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 XI-A (Page No. 76)** On approval of technologist, a certificate of approval will be issued as per the prescribed format placed at **Annexure XI-B (Page No.77)**.

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 PPC shifts to another processor, there shall be no need for fresh assessment. The processor shall inform the EIA of any change in technologist.

4. Renewal of Approval of Pre-Processing Centre.

4.1 The approved PPC seeking renewal of approval shall submit the application(s), in duplicate, as per the format specified at **Annexure-XII** (**Page no. 78-79)** at least **sixty (60) days** in advance (reminder to be sent **seventy five** (**75) days** before) of the expiry of their earlier approval to the concerned EIA along with test reports of water and ice as specified at clause 2.1.3, those documents specified at clause 2.1.3 which have been changed from that submitted earlier and application fee of Rs. 2000/- by way of demand draft drawn in favour of EIA concerned.

4.2 On receipt of the application form complete in all respect action specified at clause 2.2. to 2.3.6 shall be followed. IDP shall use the assessment report format and HACCP Audit format as specified at **Annexure- XII-A (Page .No. 80-90) & Annexure- IV-A(Page No.53-56).**

4.3 It shall be ensured by the Inchage of the Agency and the IDP Convener that all formalities for the renewal of approval are completed before the expiry of approval. The IDP shall be arranged in consultation with the applicant. It should also be ensured that the PPC is in operation during the IDP visit.

In case the PPC 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 PPC and the approval granted to the PPC lapses, the Pre-Processing Centre needs to apply for fresh approval.

4.4 The validity of approval shall be 2 years from the date of expiry of earlier approval. The certificate of approval shall be issued to the unit as per the format specified at **Annexure IX (Page No. 72)**

4.5 In case of EU approved PPC, 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 PPC along with the IDP report within three days of its receipt. However, in the case of non-EU approved independent PPC, the decision for withdrawal of approval lies with the In-charge of the Agency.

5. PROCEDURE FOR APPROVAL OF ADDITIONAL FACILITIES OF APPROVED PRE-PROCESSING CENTRE

5.1 The approved PPC seeking approval of additional facilities/activities such as ice plant, chilled room & new process activities etc. shall submit their application in the prescribed format placed at **Annexure-XIII (Page No. 91-94)** 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 drawn in favour of the EIA concerned.

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.

5.1.1 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.

5.1.2.1 **General**

(a) HACCP manual

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

(b) Traceability

Traceability of all the raw materials used for pre processing shall be maintained properly

(c) Residue Monitoring.

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

(d) Water:

If, separate source of water is required for the pre processing the same should be tested as per norms.

(e) Records

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

(f) Quality Control and Inspection

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

(g) Approved Technologist

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

5.1.3 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.

5.1.4 The convener-IDP/ In-charge of fish scheme shall ensure that assessment of the additional facility/activity of applicant PPC is carried out within 15 days of receipt of their application complete in all respect.

5.1.5 The prescribed Assessment Report Format placed at **Annexure-XIII-A (Page No. 95-99)** shall be used for reporting the observations.

5.1.6 In case any major or serious deficiencies are observed during assessment, these shall be brought to the notice of the PPC through the NCR for taking corrective action within an agreed time period, maximum of one month. The rectifications conducted by the PPC 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. The recommendations shall clearly state whether the additional facility/activity is recommended for approval or not.

5.1.7 The in-charge of the concerned EIA shall examine the assessment report of the IDP/In-charge of the fish scheme.

5.1.8 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 PPC, 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 PPC, 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 pre 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

5.1.9 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 PPC have not been approved.

5.2. 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 PPC. 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 activities.

6. CHANGE IN THE NAME OF THE PPC

6.1. In case there is a change in the name of the PPC, the concerned PPC shall furnish the following documents to the controlling local office of the EIA under whose jurisdiction the PPC is situated:

(i) Attested/Certified legal documents relating to the change

(ii) Attested/Certified copy of MPEDA registration in new name. (if not available at the time of applying then the same shall be submitted before the issuance of approval to the change of name

(iii) Any other relevant document (Ref: documents listed in clause 2.1.3 (d, f, i & j).

6.2 In case of the change of request for transfer of approval under a **Wet Lease Agreement** (an agreement wherein the approved PPC is leased out to another party with all approved facilities <u>including personnel</u> without any change except that the party which has taken the approved PPC on wet lease will be the new owner), or in case of change in ownership without changing the approved facilities including personnel, the PPC shall furnish the documents mentioned at 6.1 to the EIA.

In addition, the party taking the approved PPC 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 required to be given by all approved PPC, along with other legal documents relating to taking over the PPC 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 to the Director (I&QC) EIC for approval. EIC, after approval, will inform EC, Brussels about the change of name of approved PPC. However, in the case of non-EU PPC, the approval to change the name of the PPC shall be given by the In-charge of the Agency with intimation to EIC.

Note: In the above case, there will not be any physical shifting or restructuring of infrastructure facilities of the PPC and the managerial, supervisory personnel, workers and the HACCP programme will continue to be the same.

6.3 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.

7. RESPONSIBILITIES OF APPROVED PRE-PROCESSING CENTRE

7.1. General

(a) As the sole responsibility in maintaining the quality and safety of the products pre-processed in the PPC lies with approved Pre-Processing Centre, they shall develop and implement HACCP based own check system.

(b) Pre-Processing Centre shall maintain all the approved facilities of the unit in good repair. For major alterations/ changes in the infrastructure, prior approval shall be taken from the Competent Authority.

(c) The hygiene and sanitation at all areas of the PPC shall be maintained properly. Personal hygiene and behavior 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.

(e) Proper control shall be exercised to avoid cross contamination of the pre processed products handled.

(f) Suitable pest control measures shall be adopted to eradicate pests inside the PPC premises.

(g) Good Manufacturing Practices shall be implemented to ensure the quality and safety of the pre products handled at all stages of production.

(h) Proper time/temperature practices shall be ensured at all stages of production so as to maintain the quality and safety of the products pre-processed. Fresh fishery products shall be maintained at a temperature nearer that of melting ice

(i) The approved PPC shall ensure the safety and quality of the raw materials procured by them. They shall also ensure the traceability of the material from the source of its procurement

(j) Testing of raw material and processed material for organoleptic, microbiological and chemical parameters are to be done as per the laid down norms and the same shall be addressed in the HACCP Manual.

(k) Approved Independent PPC shall supply pre-processed material only to the approved F&FP establishments, for which they shall maintain proper records.

(l) If fishery products are kept under ice, melt water should not remain in constant contact with the products.

(m) Water and ice used in the PPC shall not be brought from unauthorized centers.

(n) The Independent PPC shall have their own in-house laboratory in case of EU approved PPC and in case of Non EU PPC may have arrangements with a near-by EIC approved laboratory / lab of approved F & FP establishment for testing microbiological and other parameters

(o) Records pertaining to cleaning and sanitation, personal hygiene, pest control, temperature control etc. shall also be maintained and made available for verification.

(p) Raw materials shall be tested for organoleptic and microbiological parameters and records maintained. Testing of raw material for residual parameters shall be done on a laid down frequency to ascertain that the raw material procured is free from banned chemicals

(q) Approved PPC will be responsible for the quality and safety of the pre-processed materials supplied by them to the approved establishments

(r) Approved Independent PPC shall pre-process fish & fishery products in their approved facility for further processing and export by approved F&FP establishment(s), for which proper records shall be maintained by the PPC.

7.2 Quality Control

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

a) Organoleptic checks

Organoleptic checks of raw material, pre processed products 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 pre processing. Defective lots shall not be allowed for pre processing.

b) Microbiological Checks

Raw materials shall be tested (type wise/ variety wise/ lot wise wise) for microbiological factors like *TPC, E.coli, Staphylococcus, salmonella, V. cholerae*, and *V.parahaemolyticus* in lab by the approved technologist(s). (Pl. refer Clause no. 7.1 (n))

Sanitation & hygiene control samples from food contact surfaces and workers hand shall be tested for T*PC, Coliforms and V. cholerae* at least once in 15 days to ascertain the effectiveness of cleaning and sanitization.

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

c) Water and Ice

PPC shall exercise proper quality control on water and ice used. 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 PPC shall test water used for pre-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 XIV (Page .No. 100)**of the same EC Directive shall be tested at least once in four months.

However, PPC approved for export to countries other than EU countries shall test water used for pre-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 PPC to ensure that the limits of histamine are not exceeded

f) Total volatile nitrogen

If organoleptic evaluation of raw material 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

PPC shall ensure that raw material / products have been subjected to visual examination for the purpose of detecting visible parasites before pre-processing, wherever applicable.

h) Toxic Fishes

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

i) Residual parameters

Raw materials should be tested by the approved PPC 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. PPC shall also test other parameters as specified in their HACCP manual.

7.3 **Records**

Proper records shall be maintained by the PPC at all stages of pre-processing, storage and transportation of pre processed material and should be made available to the EIA/EIC officials for verification. Following basic records shall be maintained by the PPC

- ❖ Traceability records pertaining to the raw material, preservative etc.
- ❖ Raw material receiving and evaluation records (E.g. Pre-processing, Time Temp Records etc).
- ❖ 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; labeling, storage & use of toxic compounds; employee health conditions; exclusion of pests)
- ❖ Pest Control records
- ❖ Calibration records
- ❖ Maintenance records
- ❖ Training records

8. OFFICIAL CONTROL BY THE COMPETENT AUTHORITY

In order to have effective official control, a 3-tier surveillance system shall be followed by the Competent Authority as per the following details:

8.1 **Monitoring by EIA Officials**

8.1.1 EIA officials shall carry out periodic monitoring of the Independent Pre-Processing Centre to ensure that all the approved facilities are being maintained by the PPC as per the requirements of GOI Notification. They shall verify the hygiene and sanitation, personal hygiene, pest control, temperature control, good manufacturing practices, HACCP implementation etc adopted by the PPC. All the records including HACCP records, maintenance records, cleaning records, personal hygiene records, temperature records, calibration records etc shall also be verified at the time of visit.

8.1.2 Raw material, pre processed material, water, ice, additives, swab samples etc shall be tested during monitoring.

8.1.3 Monitoring shall be done by an officer of the level of Asstt. Director/Tech. Officer

8.1.4 **Frequency of monitoring**

On initial approval, EIA officials shall carry out monitoring visits to the independent Pre-Processing Centres at a frequency of once in a month. Based on the satisfactory performance of the PPC for the initial period of one year, the frequency of monitoring shall be re-fixed by the In charge of the Agency to once in two months. Further after another one year, the frequency of monitoring shall be re-assessed by the Agency and on the basis of successful monitoring/ supervisory reports; the periodicity of monitoring shall be reduced to once in three months by the In-charge of the Agency. However, on detection of any major failure, or deviation from the laid down norms, the frequency of monitoring shall be increased to once in a month with the approval of the In-charge of the Agency, which shall be further reviewed after one year.

8.1.5 After completing monitoring, the report shall be submitted as per the format placed at **Annexure-XV (Page No. 101-104)** along with Non-Conformity Report. (NCR) **(Annexure-XV-A (Page No.105-106)**, if any, to the controlling office of EIA within 3 days of the visit. A copy of the NCR shall also be given to the PPC for conducting time bound rectifications. The sub office shall forward the copies of monitoring reports and NCR to the Head Office on monthly basis.

8.1.6 Minor deficiencies observed during monitoring or during other surveillance visits shall be intimated to the unit through Non Conformity Report (NCR) and the corrective actions shall be verified in the subsequent visits. However, in case of major deficiencies the matter has to be referred to the Director, EIC with specific recommendations of the in charge of Agency for taking necessary decisions.

8.1.7 HACCP Audit of the approved PPC shall be conducted at least once in a year by a team of EIA officers nominated by In-charge of the Agency.

8.2 Supervisory visits by EIA Officials

8.2.1 Supervisory visits shall be carried out by officers of the level of Deputy Director or above to assess the adequacy of monitoring visits and to ensure that the approved PPC is complying with all the specified requirements.

8.2.2 The frequency of supervisory visits shall be once in 6 months.

8.2.3 The report of the supervisory visits shall be submitted to the In-charge of the Agency within 3 days of its completion as per **Annexure-XVI (Page No.107-108)**

8.3 Actions against violations

In case of violations, such as (i) Storing of pre processed F&FP at un-authorized premises (ii) pre-processing of F&FP in unauthorized centers (iii) major failure in meeting GMP/GHP/HACCP etc., have been detected, the following penalties shall be imposed on the defaulting PPC by the Competent Authority with the approval of the Director (I&QC).

8.5 Corporate Audit

8.5.1 In order to ensure uniform implementation of the rules and regulations issued by the Competent Authority, corporate audit visits shall be conducted by EIC to PPC.

8.5.2 For this purpose, an officer generally from EIC along with an officer deputed from out side Agency shall assess 5% of the approved PPC on yearly basis.

8.5.3 The report of the audit shall be submitted to the Director, EIC.

9. CERTIFICATION

While issuing health certificates, to the establishments who are approved for export, EIAs shall mention the approval number of the concerned PPC if the material for the consignment was pre-processed at the concerned PP

10. FEE STRUCTURE

Annual fee @ Rs. 20,000/- will be charged per PPC. For this purpose the PPC shall pay Rs.20, 000/- to the concerned EIA at the time of initial approval and subsequent annual fee shall be paid in the month of approval for the next year. Further, the same procedure shall be followed for subsequent renewals.

11. APPEAL

Any person, aggrieved by decision of the competent authority not to accord approval or to withdraw the approval, may prefer an appeal within 10 days of receipt of such communication to the 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. Before doing so, processor may contact the Competent Authority, if he / she wishes so, to explain his / her side

12. 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).

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Annexure - I

APPLICATION FOR APPROVAL OF PPC

From

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

To
The Joint Director (I/C)
Export Inspection Agency- Kolkata / Mumbai/ Kochi/Chennai SO. ……..

Sir,

Please carry out the assessment of our **Independent** Pre-Processing Centre (PPC) as required under Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control Inspection and Monitoring) Rules, 1995 for pre-processing of Fishery Product and for supplying to approved establishments for further processing and export to all countries including the EU./ other than the EU.

We furnish below the information regarding the facilities existing in our pre-processing centre.

We undertake that our pre-processing centre 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 laid down vide Document No. EIC/F&FP/Ex. Inst. /Pre-Processing Centre/Mach -2008/Issue-3.

Please find enclosed herewith a demand draft bearing No. ……..for Rs. 2000/- towards the application fee.

1.	**General Information**	
1.1.	Name and address of the Independent Pre-Processing Centre 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 Independent Pre-Processing Centre 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 supply of pre	All countries including European

	processed material to approved establishments approved for	Union/ Countries other than EU.
1.9.	Scope of approval applied for	Pre-processing of F&FP
1.10.	Additional activities, if any	
1.11.	Whether all year production or seasonal production	
1.12.	No. of working hours per day	
1.13.	No. of working days per week	

2. Information on Structure of the Pre-Processing Centre

2.1.	No. of pre-processing halls	
2.2	Number of workers employed in PPC	
2.3	Is it sufficient in relation to the total production capacity of the PPC	
2.4.	Does the PPC have own ice plant	
2.5.	If so, is it integrated?	
2.6.	If separate, give address (es) and distance from the PPC. (Submit the copy of the valid contract with ice plant)	
2.7.	If separate, whether it is approved or application for approval has been filed? What type of ice is used? (Block, tube, flake, etc.)	
2.8.	What is the total capacity of the ice plant(s) owned by the PPC? (support with the document)	
2.9.	Whether ice is obtained from external source?	
2.10.	If so, address (es) of the ice plant(s) from where ice is obtained?	
2.11.	Are they approved by the Competent Authority (CA)?	
2.12.	Number and capacity of the chill room(s)	
2.13.	No. of vehicles the PPC have for transportation of raw material, pre-processed 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

2.14. Does the PPC hire outside vehicles?
(Give details)

3. Information about personnel

3.1. No. of technologists available in the Independent Pre-Processing Centre

3.2. Name and qualification of the technologist(s) supervising the pre-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, aqua-cultured 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(s) 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 centre

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 cartilage?

5.2. Are the premises clean?

5.3. Is there any area within the premises of the PPC, 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 Pre-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. Changing room for male & female workers?

7.4. Vehicle washing facility?

7.5. Water treatment plant?

7.6 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 & sanitize 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 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 galvanized iron vessel, bamboo baskets, and wiremesh containers, enameled or painted wares used for handling the product?

19.4. Are weighing scales and weights certified by the designated authority?

19.5. Is ice crusher/flake ice machine provided?

19.6. Is it maintained clean and free from rust?

20. Chill Room (s)

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

20.2. Is it kept clean and maintained at temperature range of 0 to 4°C

Is the digital gauge provided for recording the temperature?

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 Hall (s)

21.1. Are there signboards directing the employees to wash and sanitize hands and feet before entering the pre-processing hall and after each absence?

21.2. Is air curtain/fly killers provided to prevent the entry of flies when the door is opened?

21.3 Is the pre-processing hall has sufficient Lightening and ventilation?

21.4 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?

21.1. Tables, Utensils and Equipment

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

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

21.1.3 Are the tabletops smooth, free from corrosion, pits and crevices and can be cleaned easily?

21.1.4 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?

21.1.5 Are they easily cleanable?

22. **Flow of Work**

22.1 Is the layout of workflow unidirectional?

22.2 Is there any chance of cross contamination/ backtracking?

22.3 Is the high risk area, if any, precluded from low risk area?

22.4 Are there separate workers for low risk and high risk areas, if the pre 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 portability 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 pre processing meets the standards stipulated in EC Directive No. 98/83/EC or I.S 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 pre-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 pre-processing?

23.15. If hoses are used as outlet for water whether non-return values 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. 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 pre-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 sanitize?

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 washbasin foot operable?

24.8. Is waste bin provided for collecting used towels?

24.9. Are there sign boards directing employees to clean and sanitize 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 pre 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 sanitized?

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

28. Effluent Treatment

28.1. Is the unit having an efficient effluent treatment system?

28.2. Does it comply with the statutory requirements?

28.3. Does the effluent cause any problem to neighborhood?

29. Maintenance Schedule

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

29.2. Whether maintenance records are kept?

29.3. Whether all the equipments are marked with identification number?

30. HACCP

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

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

30.3. Whether persons responsible have been identified?

30.4. Whether records are maintained for this purpose?

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

30.6. Whether breakdowns and malfunctions are recorded?

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

31. Rodent/Vermin Control

31.1. Is there any documented procedure for vermin control?

31.2. Whether responsibility has been fixed for this work?

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

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

32. Transportation

32.1. Is the PPC having adequate facilities for transport of raw material and pre processed products?

32.2. If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated boxes are provided?

32.3. Are the vehicles insulated/refrigerated?

32.4. Are they constructed in such a way to facilitate easy cleaning and sanitization?

32.5. Is there separate arrangement for cleaning and sanitization of transport vehicles?

32.6. Are the records of the above maintained?

32.7. Whether such arrangement creates environmental problems?

32.8. Are the vehicles cleaned and disinfected periodically?

32.9. Whether there is a documented procedure for cleaning the vehicles?

33. Inspection and Testing

33.1. Is the unit having in-house facilities for inspection and testing? Whether the PPC undertakes tests from outside labs? If yes, what are the names of theses labs? Any contract signed with them?

33.2. Is the unit having separate qualified and competent personnel for conducting physical, chemical and microbiological tests?

33.3. Are there separate technologists for supervision of pre processing and for conducting laboratory tests?

34. 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 Independent PPC
(3) Plumbing diagram
(4) Certified Copy of the legal identify of establishment
(5) Bio-data of technologist(s)
(6) Certified copy of Lease Deed, if applicable
(7) Attested copy of Portability certificate of water and Ice (As per the Directive No.98/83/EC) for EU PPCt and as per IS4251 except radiological parameters for Non EU PPC.
(8) HACCP Plan
(9) Attested copy of MPEDA Registration Certificate of pre-processing
(10) Attested copy of the consent letter issued by the State Pollution Control Board

Annexure-II

Undertaking

(To be submitted in duplicate on company's letter head along with application for approval of pre- processing Centre.)

Ref. No. : Date:

To

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

Sub: Application for approval of PPC

Sir,

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

We handle, Pre-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.

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

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

We will be responsible for the quality and safety of the F&FP pre-processed in our PPC

Yours faithfully,

Signature of Authorized Signatory

Name:

Designation:

Date:

Place:

Annexure - III

Guarantee

(*To be submitted in duplicate on company's letter head along with application for approval of pre processing establishments 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 on the fishery products being preprocessed 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 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 PPC 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 pre processed fishery products of the other establishments in our premises without prior permission from the concerned EIA

We are aware that approval granted to our PPC for preprocessing of fishery products may be withdrawn by you in case any of the above guarantees are violated by us.

Signature of the
Place: Head of Production
Date :

Place: Counter signature of Chief Executive Officer
Date: of the approved PPC

Annexure-IV

ASSESSMENT REPORT OF PRE-PROCESSING CENTRE
(ASSESSMENT REPORT -1)

Date of visit:

Type of Visit: Inter Departmental Panel (IDP)

Composition of IDP

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

1. General Information

1.1.	Name and address of the Independent Pre-Processing Centre 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 Independent Pre-Processing Centre 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 pre-processing and supplying the pre processed material for further processing by establishments who are approved for export to	All countries including European Union/ Countries other than EU.
1.9.	Scope of approval applied for	Pre-processing of F&FP
1.10.	Additional activities, if any	

1.11. Whether all year production or seasonal production

1.12. No. of working hours per day

1.13. No. of working days per week

2. Information on Structure of the Pre-Processing Centre

2.1. No. of pre-processing halls

2.2 Number of workers employed in PPC

2.3 Is it sufficient in relation to the total production capacity of the PPC

2.4. Does the PPC have own ice plant

2.5. If so, is it integrated?

2.6. If separate, give address (es) and distance from the PPC

2.7. If separate, whether it is approved or application for approval has been filed?
What type of ice is used? (Block, tube, flake, etc.)

2.8. What is the total capacity of the ice plant(s) owned by the PPC?

2.9. Whether ice is obtained from external source?

2.10. If so, address (es) of the ice plant(s) from where ice is obtained?

2.11. Are they approved by the Competent Authority (CA)?

2.12. Number and capacity of the chill room(s)

2.13. No. of vehicles the PPC have for transportation of raw material, pre-processed 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			

2.14. Does the PPC hire outside vehicles? (Give details)

3. Information about personnel

3.1. No. of technologists available in the Pre-Processing Centre. Are they sufficient as per the requirement of Ex. Inst. ?

3.2. Name and qualification of the technologist(s) supervising the pre-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, Aqua-cultured or both

5. Surroundings

5.1. Whether the premises have defined cartilage?

5.2. Are the premises clean?

5.3. Is there any area within the premises of the PPC, 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 Pre-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. Changing room for male & female workers?

7.4. Vehicle washing facility?

7.5. Water treatment plant?

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 other 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 & sanitize 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, and free from pits and crevices?

12.2. Is the floor cleanable and having sufficient slope?

12.3. Is the slope of floor opposite to the flow of work or 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 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 galvanized iron vessel, bamboo baskets, wire mesh containers, enameled or painted wares used for handling the product?

19.4. Are weighing scales and weights certified by the designated authority?

19.5. Is ice crusher/flake ice machine provided?

19.6. Is it maintained clean and free from rust?

20. Chill Room (s)

20.1. Are chill room (s) provided for storing raw / processed 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 Hall (s)

21.1. Are there signboards directing the employees to wash and sanitize hands and feet before entering the pre-processing hall and after each absence?

21.2. Is air curtain/fly killers provided to prevent the entry of flies when the door is opened?

21.3 Is the pre-processing hall has sufficient Lightening and ventilation?

21.4 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?

21.1. Tables, Utensils and Equipment

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

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

21.1.3 Are the tabletops smooth, free from corrosion, pits and crevices and can be cleaned easily?

21.1.4 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?

21.1.5 Are they easily cleanable?

22. **Flow of Work**

22.1 Is the layout of workflow unidirectional?

22.2 Is there any chance of cross contamination/ backtracking?

22.3 Is the high risk area, if any, precluded from low risk area?

22.4 Are there separate workers for low risk and high risk areas, if the pre 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 portability 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 pre processing meets the standards stipulated in EC Directive No. 98/83/EC or I.S 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 pre-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 pre-processing?

23.15. If hoses are used as outlet for water whether non-return values 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. 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 pre-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 sanitize?

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 washbasin foot operable?

24.8. Is waste bin provided for collecting used towels?

24.9. Are there sign boards directing employees to clean and sanitize 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?

26. Cleaning and Disinfections 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 sanitized?

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

28. Effluent Treatment

28.1. Is the unit having an efficient effluent treatment system?

28.2. Does it comply with the statutory requirements?

28.3. Does the effluent cause any problem to neighborhood?

29. Maintenance Schedule

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

29.2. Whether maintenance records are kept?

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

30. HACCP

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

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

30.3. Whether persons responsible have been identified?

30.4. Whether records are maintained for this purpose?

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

30.6. Whether breakdowns and malfunctions are recorded?

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

31. Rodent/Vermin Control

31.1. Is there any documented procedure for vermin control?

31.2. Whether responsibility has been fixed for this work?

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

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

32. Transportation

32.1. Is the unit having adequate facilities for transport of raw material and pre processed products?

32.2. If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated boxes are provided?

32.3. Are the vehicles insulated/refrigerated?

32.4. Are they constructed in such a way to facilitate easy cleaning and sanitization?

32.5. Is there separate arrangement for cleaning and sanitization of transport vehicles?

32.6. Are the records of the above maintained?

32.7. Whether such arrangement creates environmental problems?

32.8. Are the vehicles cleaned and disinfected periodically?

32.9. Whether there is a documented procedure for cleaning the vehicles?

33. Inspection and Testing

33.1. Is the unit having in-house facilities for inspection and testing? If not, then would the PPC undertake lab testing outside ? If yes, provide details with respect to name and address of the lab, any contract signed with them ?

33.2. Is the unit having separate qualified and competent personnel for conducting physical, chemical and microbiological tests?

33.3. Are there separate technologists for supervision of pre processing and for conducting laboratory tests?

34. Any other relevant information

Recommendation of the Inter Departmental Panel (IDP)

Name of the Indenpendent Pre-Processing Centre :

Location :

Nature of Activities of the PPC :

Pre processing capacity :

Recommendation

The above Indenpendent PPC may be approved /may not be approved to pre-process fishery products and to supply to approved EU / Non EU approved establishments or (*name of the establishment*) for further processing and export under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet. (Strike whichever not applicable)

Remarks if any :

Signature			
Name			
Designation			
Organization			
Date			

:

Signature of the authorized representative of the PPC

Name :

Designation :

Date :

Seal of the firm

Annexure – IV-A

AUDIT / SURVEY REPORT

Name of the PPC 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 PPC with approval No. (if any)	
Address-Registered office	
Address- PPC	
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 Realization**	
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 PPC with approval No.	
Address-Registered office with name of contact person and telephone No:	
Address of Pre-processing Centre	
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	Physical, chemical and microbiological chrematistic of the pre-processed materials	
3.2	Raw materials and additives used	
3.3	Method of preservation	
3.4	Treatments the product (s) underwent	
3.5	Application of regulatory requirements	
3.6	Microbiological and chemical criteria applied	
4.	**Intended Use**	
4.1	Normal or predicted use of the product by the customer	
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	Sequence of pre- processing operation	
5.4	Duration and delays between receiving & pre-processing operations	
5.5	Separation of clean and dirty areas (pre-requisite)	
5.6	Technical data of cleaning and sanitation(pre-requisite)	

5.7	Hygienic environment of the facilities (pre-requisite)	
5.8	Hygienic conditions of the personnel (pre-requisite)	
5.9	Circulation flow of personnel (pre-requisite)	
5.10	Condition of product distribution (pre-requisite)	
5.11	Whether yearly verification of the flow chart and layout has been conducted?	
5.12	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 6.3	Are in the risk analysis (if applicable) practical experiences, experimental data (S), literature etc. included? 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?s	
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 lay 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 recorded?	
9.5	Who is responsible for monitoring? Whether he /she has undergone proper training frequently?	
9.6	Whether the instruments used for measurements are reliable? (Calibration/ verification)	
9.7	Are the results of monitoring recorded by the means of: ▪ Monitoring reports (dated and signed) ▪ Registration of deviation occurred (marginal values and critical marginal values) and corrective measures	
9.8	Are the validity and reliability of the monitoring procedure satisfactory?	
10	**Corrective Actions**	
10.1	Whether corrective action measures have been laid down 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 depending on the individual process circumstances as per the location of the establishment?	
11.4	What is the frequency of the verification followed?	
11.5	Name and Designation of person(s) In charge of verification.	
11.6	Validity of the verification procedure.	
11.7	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 centre	

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 pre-processing of F&FP?
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 & disinfestations 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	**Pre-Processing**
3.1	Whether the pre processing methods adopted by the unit are appropriate for producing wholesome fishery products?
3.2	Are the time/temperature controls exercised at all stages of pre-processing and documented?
3.3	Whether temperature of the product maintained below 4°C during pre-processing, storage and transportations?
4	***Storage & Transportation***
4.1	Whether the PPC has adopted good storage and transportation practices?
5	**Hygiene & Sanitation**
5.1	Are the hygiene & sanitation practices adopted by the PPC satisfactory?
5.2	Are the walls, floor, doors, tables, utensils etc. kept clean?
5.3	Whether a documented cleaning procedure followed?
5.4	Are the workers apparently free from any form of communicable diseases, open sores and wounds or any other sources of contamination?
5.5	Are the workers medically examined periodically and whether individual health cards showing that the individual is fit to work in fish processing plant maintained?
5.6	Are prophylactic injections being administered to the plant employees and records thereof included in the individual cards?
5.7	Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhoea or any other communicable diseases in their homes?
5.8	Are workers medically examined after each absence due to illness from any contagious disease?

5.9	Are the workers provided with sufficient sets of clean work dress and headgears? Are the workers following good hygiene practices?
6	**In-house Laboratory**
6.1	Whether the PPC is testing raw material/ pre process material, water/ice and sanitary samples in their in-house laboratory or EIC approved lab as per laid down procedure?
6.2	Whether the testing methods adopted are sufficient and effective?
6.3	Are the approved technologists properly doing the required tests in the in-house lab?
6.4	Are the chemicals used in the in-house lab effective?
6.5	Are the records pertaining to testing and calibration maintained?

AUDIT OBSERVTIONS SHEETS

S.No.	Reference	Observations	Remarks

Recommendations of the Inter Departmental Panel (IDP)	
Name of the Independent pre-processing Centre	
Location	
Approval no.	
Nature of activities of the PPC and preprocessing capacity.	
In view of the deficiencies observed in the HACCP implementation as mentioned in the observation sheet, it is recommended that full approval / renewal of approval to pre- process F&FP and to supply to approved EU / Non EU establishments or (*name of the establishment*) for further processing and 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 pre-processing Centre. 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.	
Or	
In view of the satisfactory assessment of the implementation of HACCP and other statutory requirements by the unit, it is recommended that the above Indenpendent Pre-Processing Centre may be fully approved/ approval renewed to Pre- process fish & fishery product and to supply to approved EU / Non EU establishments or (*name of the establishment*) for further processing and export under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.	

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- V

REQUIREMENTS FOR APPROVAL OF PRE-PROCESSING CENTRE

Independent pre-processing centre meant for pre-processing F&FP for further supplying the preprocessed product to F & FP approved establishments for value addition and export to EU & or Non EU ,shall have the following requirements.

Detached captive pre-processing centre meant for pre-processing F&FP for further supplying the preprocessed product to specified approved establishment for value addition and export.

The PPC shall have the following requirements

Premises – The premises should have defined cartilage. It should be kept clean without swamps, stagnant water or dumps nearby. The roads in the premises should be concreted/tarred or turfed to prevent wind blown dust. Premises shall be free from objectionable odours, smoke, dust and other contamination. There should be effective methods of rodent control.

Design & Layout: The building shall be of permanent nature affording sufficient protection from normal climatic hazards like wind blown dust, rain etc. The design and layout of the building shall be such as to preclude contamination of product and also to prevent cross contamination. The building shall provide sufficient protection against the entry and harborage of pests. The layout shall ensure smooth and orderly flow of work and sufficient space in different sections for machinery, equipment, personnel, etc.

Plant facilities –There shall have raised platform for receiving raw material with sufficient protection from external contamination. The floor, walls and roof at all sections shall be smooth, easy to clean and disinfect. All doors shall be self-closing, tight fitting and made of corrosion resistant material. All windows/ ventilators/ exhaust fans shall have suitable fly- proofing system. There should be adequate facilities for storing disinfectants and insecticides. Sufficient number of change rooms for male and female workers shall be provided with all required facilities. All tables, utensils and equipments shall be made of non- corrodible materials and shall be smooth and easy to clean and disinfect. Tables shall be provided with running water facility and suitable arrangements to drain water from tables directly into drains. Chill room (s) having adequate size with mechanical refrigeration system to maintain the product temperature below 4°C shall be maintained.

Waste Disposal - There shall be proper system for storage and timely disposal of waste formed during pre-processing. The PPC shall have separate area attached to the main pre-processing hall for temporary storage of waste. The containers used for waste storage and transportation shall be marked separately with different colour codes. Wastes should be removed form the pre-processing area as soon as the same is formed. Proper pest control measures shall be adopted at the waste storage areas.

Cleaning and sanitary facility – Suitable cleaning and sanitary facilities for feet and hand should be provided at the entry points. The washbasins should be provided with non-hand operated taps. Liquid soaps disinfectants; nailbrush and single use towels should be provided in sufficient quantity. The foot operated waste bin should be provided for collecting used towels.

Water and Ice- Suitable water/ ice management system shall be maintained by the unit so as to ensure the safety of the water and ice used in the PPC. Water that comes in contact with fish & fishery products shall be of potable nature and shall meet the requirements of EC Directive 98/83/EC or IS 4251 as the case may be. Water storage

tanks shall be protected well and shall be cleaned periodically. Taps shall be serially numbered and those having hose connection shall be fitted with non-return valves.

Changing room – There shall be sufficient number of change rooms for male and female workers of adequate size proportionate to the number of workers. The changing room should be integrated into the plant layout properly. The changing room should have smooth walls, floors. Toilets shall be provided in the change room. There should be sufficient number of sanitary type toilet in proportion to the number of workers. The toilets should be well lit. The doors of the toilets should be self-closing type and tight fitting. The toilets should be made fly proof. The toilet should be provided with soap, disinfectants, single use towels etc. near the foot-operated washbasin.

Personal hygiene – There should be a person responsible for maintenance of personal hygiene. The workers should be apparently free from any form of communicable diseases, open sores and wounds or any other source of contamination. The workers should be medically examined periodically and the individual health cards should be maintained showing that the individual should be fit to work in fish processing unit. The workers should be medically examined after each absence due to illness from any contagious disease. There shall be signboards for prohibiting employees from smoking, spitting, eating and drinking in the storage premises. Staff must wear suitable clean working clothes including warm clothes. The gloves shall be thoroughly cleaned and dried before use

Maintenance, cleaning and disinfections – There shall be a maintenance schedule and documented procedure for cleaning and disinfect ion of different sections of the PPC and equipments. The cleaning schedule shall be exhibited prominently and the records for cleaning should be maintained properly.

Records – Approved PPC shall maintain proper records at all stages of production as mentioned in their HACCP manual. The PPC shall maintain records pertaining to procurement, pre-processing, and dispatch of F&FP handled in their PPC They shall also maintain records pertaining to cleaning & sanitation, pest control, maintenance, calibration, HACCP records, etc

In-house Laboratory- The EU approved PPC may have an in-house laboratory for testing routine microbiological and other parameters can be tested from outside approved lab. However non EU approved PPC can have written arrangement with a nearby EIC approved lab / or any other approved lab. for carrying out the testing.

Transportation- The approved PPC shall have suitable and adequate facility for transportation of raw materials / pre-processed materials, the food contact surfaces of which shall be smooth, free from pits and crevices and easy to clean and disinfect.

Technologists - The approved PPC shall have the technologist as per Clause 3.0 of the Ex. Inst.

Annexure VI

NON-CONFORMITY REPORT

NAME OF THE PPC :

D E F I C I E N C I E S

Signature of IDP experts			
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 – VII

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

NO. EIA/

Date :

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

Madam,

SUB : Approval to pre- process F & FP and to supply to approved EU / Non EU establishments or (*name of the establishment*) for further processing and export on (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 pre process fishery products and to supply to approved EU / Non EU establishments or (*name of the establishment*) for further processing and export under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Q.C, 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
				pp/ppa

As the IDP has recommended approval for the above PPC(s), it may kindly be granted approval and included in the list of PPC approved to pre process fishery products and to supply to approved EU / Non EU establishments or (name of the establishment) for further processing 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)

(format of non approval letter)

Annexure VIII

EXPORT INSPECTION AGENCY – _____

NO. EIA/

DATE:

To

Dear Sirs,

SUB: Non approval to pre process fishery products

REF: your application dated …….

The Inter Departmental Panel (IDP) of experts visited your pre processing centre, 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 for pre processing of fish and fishery products and to supply to approved EU / Non EU establishments or (*name of the establishment*) for further processing and export

Name & Location of the Establishment	Date of IDP Visit

The IDP has observed certain defects/deficiencies in your pre processing centre which are given in the annexure. In view of the nature of defects/deficiencies, it is regretted that your pre processing centre cannot be now approved to pre process fishery products.

You may, however, rectify all the defects/deficiencies, ensure that your pre processing centre 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 – for information please.

Annexure- IX

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 independent Pre-Processing Centre)

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

Is hereby granted approval/renewal of approval for a period of two years

valid up to and including……..under approval no……

For pre-processing fish & fishery products for supplying to approved processing establishments meant for export TO ALL COUNTRIES INCLUDING EU.
(Nature of activity of the Pre-Processing Centre)

In its establishment situated at ……

……
(Location of the pre processing Centre)

Subject to the conditions that the Independent Pre-processing Centre 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.

Seal of EIC

Place: New Delhi

Signature:

Date:

Name : Ms. Shashi Sareen

Designation: Director (I&Q/C)

3rd floor, NDYMCA Cultural Center 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

Annexure - X

EXPORT INSPECTION AGENCY – _____
(Ministry of Commerce and Industry)
Government of India

No. EIA/ **Date:**

To

M/s. ……

……

……

Dear Sirs,

Sub: Full approval of Independent/ Detached Captive Pre-Processing Centre to pre-process fish & fishery products and to supply to approved EU / Non EU establishments or (*name of the establishment*) for further processing and export

Ref: Your application dated

Please refer to your application cited above for approval of your Indenpendent Pre-Processing Centre, particulars of which are given below, for pre-processing of Fresh 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 Independent Pre-processing Centre	Category	Nature of activities
	PP / PPa	

In exercise of the powers conferred by rule 11 of the said rules, the panel of experts visited your PPC to assess the adequacy of the facilities available therein for pre-processing fish & fishery products.

After due consideration of the report of the panel of experts, your pre-processing centre 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 for pre-processing Fish and Fishery Products and to supply to approved EU / Non EU establishments or (name of the establishments) for further processing and export to all countries including the EU.

The approval number allotted to your establishment is: _____

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 expiry of the present approval.

Your PPC 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 pay the prescribed annual fee @ Rs 20,000 (rupees twenty thousand only) per PPC to this office during the currency of the approval.

Please acknowledge receipt.

Yours faithfully,

(Joint Director I/C)

Copy to:

(1) The Director (Insp. & Q/c) EIC, New Delhi – 110 001.
(2) The MPEDA, regional office.
(3) The Officer-in-charge, (Concerned sub office)
(4) Party file ( )

Annexure XI

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 an assessment so as to approve me as a technologist for handling fish and fishery products.

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./Mrs.
2.	Educational / Professional qualifications indicating main subject of study (Only degree level & postgraduate qualifications need be shown.) (Attach attested copies of the certificates)		:	
3.	Date of Birth		:	
4.	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 :

Annexure – XI-A

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./Mrs.
4.	Educational/professional qualifications	:	
5.	Experience in fish processing / QC	:	
6.	Ddate of assessment	:	
7.	Whether the qualifications and experience are verified?	:	yes / no.
8.	Is this the first approval of technologist or renewal of the approval?		
	Factors of assessment		Panel observations
9.	Ability to supervise fish processing operations	:	
10.	Knowledge of sampling techniques	:	
11.	Knowledge of organoleptic inspection of fishery products	:	
12.	Knowledge of microbiological testing of fishery products	:	
13.	Knowledge of chemical testing of fishery products	:	
14.	Knowledge of sanitation & hygiene control	:	
15.	Knowledge of HACCP based own checks system	:	
16.	Knowledge of record keeping	:	
17.	Knowledge of FFP notifications and Executive Instructions/ EC Directives	:	
18	Quality consciousness	:	
19.	Knowledge of regulatory requirements of importing countries	:	

Remarks/Recommendations of the Panel of Experts

Mr./Ms/ Mrs. is **Recommended / Not recommended** to work as "**approved technologist"** in the aforesaid establishment.

Signature			
Designation			
N a m e			
Institution			
D a t e			

Annexure XI-B

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,

Mr. /Mrs. /Ms.....

(Name of the technologist)

holding.....
(Qualification)

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

is hereby approved as a technologist to handle preprocessing of fish & fishery products for further supplying to establishments approved for export to all countries including **EU / Non-EU countries** 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:

Annexure - XII

APPLICATION FOR RENEWAL OF PPC 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 PPC, particulars of which are given below, to pre process fishery products and to supply to approved EU / Non EU establishments for further processing and export under the Export of Fresh, Frozen & Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 may kindly be renewed for a period of 2 years from the date of expiry of the earlier approval.

We enclose 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 PPC	
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 PPC is approved and renewal sought	. . . . .
6.	Approval sought to pre process fishery products and supply to approved EU / Non EU establishments for further processing and export	EU/non-EU countries
7.	Raw material handled during last two years (In MT)	
8.	Annual pre-processing 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: Regn. Certificate No. Validity

    Pre-processing Centre (Peeling Shed)

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 (Sea caught or aquaculture or both)

21. Name & Address of the merchant exporter(s) presently catering to (if applicable)

22. Name & Address of merchant exporter(s) catered for last two years

23. Any other relevant information

Formatted: Bullets and Numbering

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

Signature :

N a m e

Place: Designation :

Date: Company Seal :

Annexure – XII A

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

ASSESSMENT REPORT OF PPC 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 PPC seeking renewal of approval	}	
1.2.	Approval Number	:	
1.3.	Name of the Chief Executive (MD/Mg. Partner/Proprietor)	}	
1.4.	Is the PPC 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 PPCis approved	}	

1.8.	Approval sought to pre process Fish & Fishery Products and to supply to approved EU / Non EU establishments for further processing and 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) }

2.11 Number of vehicles the establishment has for transportation of raw material, ice and water.

	Number Regn.	Capacity	No.
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
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 centre	}	
4.3.	Is there any arrangement for traceability of raw materials?	}	

5. Surroundings

5.1.	Whether the conditions of approval are still maintained satisfactorily *	}	Yes / No
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. Water & Ice

11.1.	Whether the source of water and water management system are same a s at the time of approval	}	Yes / No
11.2.	If not, what are the changes and whether these meet the requirements?	}	
11.3.	Whether water used for pre processing and ice making is tested regularly?	}	
11.4.	Whether the source of ice is same as at the time of approval?	}	
11.5.	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 Toilet Facilities

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

15. Personnel Hygiene

15.1.	Whether the conditions of approval are still maintained satisfactorily? *	}	Yes / No

15.2. If not, what are the deficiencies? :

16. Cleaning and Disinfection of Plant, Equipment and Utensils

16.1. Whether the conditions of approval are still maintained satisfactorily? * } Yes/No

16.2 If not, what are the deficiencies? :

17 Changing Room

17.1 Whether the conditions of approval are still maintained satisfactorily ?* } Yes/No

17.2 If not, what are the deficiencies? :

18. Effluent Treatment

18.1. Does the unit have an efficient effluent treatment system? }

18.2. Does it comply with the statutory requirements ? }

19. Maintenance Schedule

19.1. Whether the documented maintenance procedure is adequate and records of maintenance kept? }

19.2. If not, what are the deficiencies? :

20. H. A. C. C. P.

20.1. Whether the HACCP system is same as at the time of approval and is maintained as required? } Yes / No

20.2. If not, what are the changes and whether these changes are as required? :

20.3 Whether CCPs have been identified correctly and monitored properly?

20.4 Whether the implementation of HACCP is proper and adequate

20.5 Whether GMP & GHP is adequate to ensure the safety of the product processed?

21. Rodent / Vermin Control

21.1. Whether the documented rodent/vermin control system is adequate and records maintained? }

22.2. If not, what are the deficiencies? :

23. Transportation

23.1. Are the facilities for transport of raw materials and pre processed and for cleaning and sanitisation of transport vehicles satisfactory? } Yes / No

23.2. If not, what are the deficiencies? :

24. Inspection and Testing

24.1. Are the inspection and testing facilities adequate? } Yes / No

24.2 If not, what are the deficiencies?

24.3 Is the unit testing all the specified parameters as per the laid down frequency?

25. Recommendations of the IDP

Name of the PPC :

Location :

EIA Approval No. :

Nature of activities of the unit }

The approval granted to the above PPC under the Export of Fresh, Frozen and Processed Fish & Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 to pre process fishery products for supplying to approved EU/non EU establishments (name of the establishment) for further processing and exports 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 PPC under the Export of Fresh, Frozen and Processed Fish & Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 to pre process fishery products for supplying to approved EU/non EU establishments (name of the establishment) for further processing and exports may **not** be renewed for a further period of 2 years from the date of expiry of the last approval.

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

Annexure – XIII

(Application for Approval of Additional Facilities / Processing Activities)

From

To

Sir,

Please carry out the assessment of our PPC 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 pre processing fishery products and to supply to approved EU / Non EU establishments or (*name of the establishment)* for further processing and export.

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

We undertake that our PPC 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 PPC 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 or 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 What activities are 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?
If water and ice are tested within one year, the same need not be tested again. (amendment no.1)

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 pre 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.

Annexure – XIII- A

EXPORT INSPECTION AGENCY
MINISTRY OF COMMERCE
GOVERNMENT OF INDIA

ASSESSMENT REPORT FOR ADDITIONAL FACILITIES / PROCESSING ACTIVITIES OF PPC

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 PPC 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 pre processing capacity of the unit

4.9 If so what is the expected new pre processing 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 any new activity 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 PPC
Location

Processor code No. allotted by EIA	
Nature of activities already approved	To pre process and supply to EU/Non EU approved establishments or (name of the establishment) for further processing and export
Fishery products, which may be allowed to be pre processed in the above unit.	Shrimps and other crustaceans cephalopods Fish Other (specify)
Additional facilities/ activities requested for approval	

The above additional facilities / pre processing activities of the PPC 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 PPC 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 PPC :

DEFICIENCIES

Signature	……	……	……
Name	……	……	……
Designation	……	……	……
Organisation	……	……	……
Date	……	……	……

Fully agree with the observations /recommendations of the Assessment Team

Signature (representative of the PPPC)

Name

Designation

Date

Seal of the firm

ANNEXURE --XIV

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

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

Note No.1	Necessary only when used as flocculent
Note No.2	Necessary only if the water originate from or is influenced by surface water
Note No.3	Necessary only when chloramination is used as a disinfectant
Note No.4	Necessary only in the case of water offered for sale in bottles or containers

Annexure – XV

EXPORT INSPECTION AGENCY –

MONITORING REPORT

Date of Visit

Name of the Pre Processing Center (PP)

Approval No.

Product being pre processed at the time of visit

Sl. No.		**Observations/suggestions**
(1)	**(2)**	**(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.	Packing section	
7.	Chill rooms	
8.	Machineries/equipments	
9.	Tables and utensils	
10.	Lights & ventilations /AC	
11.	Floor, walls and roof	
12.	Drainage	
13.	Packing material store	
14.	Chemical store	
15.	Water purification system	
16.	Ice manufacturing unit	
17.	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.	Packing records	
4.	Storage and transportation records	
5.	Quality control & Inspection records	
6.	Test reports	
7.	Calibrations & validation records	
8.	Sanitary and hygiene records	
9	Personal hygiene records	
10	Time/temperature records	
11	Water & ice test reports	
12	Chlorination records	
Additional Checks (Verify & record the observations)		
1.	**Chlorination levels** a. Water used for pre processing b. Water used for ice manufacture c. Hand dips d. Foot dips e. Water used for cleaning tables etc.	
2.	**Temperature of the Products** a. Temperature of Raw Material b. Product temperature at different stages c. Temperature of the product during storage	**Product Temp.**
3.	**Temperature of the facilities** a. Chill rooms	
4.	Time taken for chilling	
Fraud control (Specify if violations are noticed in the following area)		
1.	Exceeding capacity limits	
2.	Manipulation of records	
3.	Pre 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	

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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

Annexure – XV A

EXPORT INSPECTION AGENCY – _____

NON-CONFORMITY REPORT (NCR)

Name of the PPC :

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 PPC :
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	Signature :
Name	Name :
Designation	Designation :
(eic / eia officer)	Representative of the establishment

Annexure - XVI

EXPORT INSPECTION AGENCY – _____

SUPERVISORY VISIT REPORT

1. Date of visit :
2. Approval No. :
3. Name of the Pre Processing Center (PP):
4. Product being pre 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.	Personal Hygiene		
5.	Change Room		
6.	Flake Ice		
7.	Chill Room		
8.	Water/Ice/Salt/Chemical/Additives		
9.	Rodent/Vermin Control		
10	Effluent Treatment		
11.	Own Checks/HACCP system		
12.	Maintenance of records		
13.	Packaging/Storage/Transportation		
14.	Inspection & Testing Facilities		
15.	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)***