



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

# Module-4

# Inspection and Certification Process



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Inspection for Use of Genetically Engineered Products

- (a) The Authorized Inspection and Certification Agencies shall implement a system of inspection for potential use of genetically engineered products. When use of such products is detected at any stage, certification shall not be granted.
- (b) Such booklet shall include the following where appropriate to the certification being conducted:
  - i) seeds and planting stock
  - ii) animal breeds
  - iii) production inputs
  - iv) livestock inputs
  - v) processing aids
  - vi) ingredients



**Centurion**  
**UNIVERSITY**  
*Shaping Lives...  
Empowering Communities...*

## Inspections and Certification of Grower Groups:-

- (1) The Inspection and Certification Agency will have documented policies and procedures for carrying out inspection of grower groups.
- (2) Internal Quality System (IQS): Group certification is based on the concept of an Internal Quality System comprising of the following: -
  - (a) Implementation of the internal control system
  - (b) Internal standards
  - (c) Risk assessment.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

- (3) Development of IQS: The following are the minimum requirements for setting up an IQS for grower groups:
- (a) Development of Internal Control System (ICS)
  - (b) Identification of producer groups
  - (c) Creation of awareness about group certification
  - (d) Identification of qualified personnel for maintaining the internal control system
  - (e) Give necessary training in production and IQS development
  - (f) Preparation of IQS manual containing policies and procedures
  - (g) Implementation of the policies and procedures
  - (h) Review and improvement of the IQS document for maintaining a harmonized IQS.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

- (4) Internal Quality System Manager (IQS Manager)
- (5) Internal inspectors
- (6) Approval Manager / Committee
- (7) Field officers
- (8) Purchase officers
- (9) Warehouse Manager
- (10) Processing Manager
- (11) Internal Standards
- (12) Conflict of Interest
- (13) Scope of Certification
- (14) Trade



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Procedures for Implementation of Internal Control System:-

- (1) Registration of members
- (2) Provision of documents to the members of the grower group: Each member of the grower group will be supplied with docket in local languages, which will contain the following –
  - (a) Copy of IQS manual
  - (b) Internal standards document
  - (c) Copy of National Standards of Organic Production document (Each member / staff shall be communicated when there is a revision in the standards.)
  - (d) Definition of the production unit
  - (e) Farm Entrance Form (farm data sheet), including last use of prohibited inputs



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

- (3) Operating Document:
- (4) Critical control points for risk assessment:
- (5) Internal Inspections
- (6) External Inspections:
- (7) The sampling plan for inspection shall be based on the inspector's perception of risk based on the following factors:
  - (a) Size of holding
  - (b) Number of the members in the group
  - (c) Degree of similarity between the production system and crop system
  - (d) Inter-mingling / contamination
  - (e) Local hazards



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Certification Process:-

### The Responsible Body and Certification Decisions:

- (a) Certification decisions are not only limited to initial approval of Licensed Operators, but also approval of products, changes in production, disciplinary measures etc.
- (b) The Authorized Inspection and Certification Agencies shall ensure that each decision on certification is taken by person(s) different from those who carried out the inspection or assessment.
- (c) The agency responsible for certification decisions shall reflect a diversity of stakeholders, without any single interest predominating





**Centurion**  
**UNIVERSITY**  
*Shaping Lives...  
Empowering Communities...*

## Exceptions:

If exceptions are granted, clear criteria and procedures for granting exceptions shall be evolved.

- (a) Exceptions shall be clearly limited in time.
- (b) The rationale for any exception shall be properly recorded.

**The Certification Process:** The certification policies and procedures shall be well documented and shall, inter alia, include:

- (a) all procedural steps in processing the application, until final certification.
- (b) that the certification status of all Licensed Operators and their production be indicated throughout the certification process;
- (c) that the certification decisions be recorded and clearly communicated to the Licensed Operator;
- (d) that, where certification is denied, the reasons shall be clearly stated;



**Centurion**  
**UNIVERSITY**  
*Shaping Lives...  
Empowering Communities...*

## Appeals:

- (a) The Authorized Inspection and Certification Agencies shall have procedures for the consideration of appeals against its decisions.
- (b) The Authorized Inspection and Certification Agencies shall:
  - i) keep a record of all appeals
  - ii) take appropriate follow up actions
  - iii) document the action taken
- (c) Persons responsible for the decision being appealed against shall not be involved in the final decision on the appeal.



**Centurion**  
**UNIVERSITY**  
*Shaping Lives...  
Empowering Communities...*

## Certification Records and Reports:

- (a) Licensed Operator's Files:
- (b) Inspection reports and written documentation shall provide sufficiently comprehensive information to enable the Authorized Inspection and Certification Agencies to make competent and objective decisions.
- (c) Records: Records shall be kept by respective Authorized Inspection and Certification Agencies for:
  - i) Violations
  - ii) Precedents
  - iii) Exceptions
  - iv) Disciplinary measures



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

- (g) Annual report: An annual report shall include details on:
- i) area certified / under conversion
  - ii) the number of inspections performed
  - iii) the number of certified Licensed Operators
  - iv) number of Licensed Operators under conversion
  - v) number of grower groups certified
  - vi) the frequency and kind of violations and disciplinary measures
  - vii) the frequency and kind of exemptions
  - viii) the frequency and kind of complaints
  - ix) the frequency and kind of appeals
  - x) the frequency and kind of infringements found
  - xi) total quantity of organic products produced under the certification system.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

- xii) name of the products / crops certified (processed and non-processed)
- xiii) quantity of products exported (processed and non-processed)
- xiv) quantity of products sold in the domestic market (processed and nonprocessed)
- xv) number of transaction certificates issued (copies of every transaction certificate to be attached with the report.
- xvi) other areas of concern.
  - (h) Integrity of the System
  - (i) Disciplinary measures
  - (j) Withdrawal of certification
  - (k) Marks and Certificates
  - (l) Transaction certificate



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Licensed Operators:-

- (1) Information to the Licensed Operators: The Inspection and Certification Agencies shall ensure that each certified Licensed Operator has at the time of application:
  - (a) An up-to-date version of the applicable standards for organic products.
  - (b) An adequate description of the procedure for inspection, certification and appeals.
- (2) For the existing Licensed Operators:
  - (a) Notification of changes in the standards and relevant procedures without undue delay.
  - (b) A valid certificate or other written proof of certification status.
  - (c) Valid contracts/licenses.



**Centurion**  
**UNIVERSITY**  
*Shaping Lives...  
Empowering Communities...*

## Inspection and Certification of All Stages in Handling:-

- (1) Packed Products:
- (2) Storage Facilities:
- (3) Transport Facilities
- (4) Chain of Custody:

## Inspection and Certification of Wild Products:-

The inspection regime shall, apart from normal inspection, visit to the Licensed Operator and the facilities, including:

- (a) interviews with the collectors.
- (b) Visit to an appropriate portion of the certified area.
- (c) visits to and interviews of any local agents.
- (d) interviews of landowners and other parties (environment agencies, NGOs etc.) supplying relevant information about the area of collection.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Inspection and Certification of Input Manufacturing:-

- (a) the application procedure, including the necessary documents to be submitted by the applicant;
- (b) the procedure to be followed in evaluating the product's compliance with the organic standards;
- (c) the decision making authority;
- (d) the period for which approval is granted and the requirements for the manufacturer to report changes in composition or other relevant factors;
- (e) a clear statement of the nature and guarantee of the approval.





**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

Mandatory checks to be undertaken by the Authorized Inspection and Certification Agency during Inspection:-

For conversion to organic cultivation

The inspector should check that the above conditions are met in the case of production of seeds, vegetative propagating material and transplants. For the production of perennial crop products (fruit growing, vines) the following should be checked for meeting the conditions for compliance:-

- i) Whether production area is a part of the conversion plan
- ii) To check that whether the last part of the area in the farm would be converted to organic production in the shortest possible period (not to exceed a maximum of 5 years).
- iii) Appropriate measures are taken by the Licensed Operator for the separation of the products obtained from organic and non-organic units.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

Plants and plant products at production site:

- (a) Shall ensure that the Licensed Operator shall inform in advance the Authorized Inspection and Certification Agency regarding harvest of every crop in the farm.
- (b) On suspicion of use of unauthorized products, samples for testing of products (products as well as inputs used) must be taken.
- (c) Whether the farms and storage units are separated from non-organic farms and non-organic storage units. Processing and packaging units of organic products can be considered as part of the production unit, when processing & packaging activities take place at the production site.



**Centurion**  
**UNIVERSITY**  
*Shaping Lives...  
Empowering Communities...*

For collection of wild products:

- (a) When the Licensed Operator's activity is limited to only collection of wild products, the Inspection and Certification Agency must take all the precautionary measures to ensure compliance with the provisions under Organic Agricultural Produce Grading and Marking Rules.
- (b) The inspector should countercheck to ensure that the guarantees given by the producer meet the provisions.
- (c) Measures taken by the Licensed Operator for compliance with these Rules must be checked and noted.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Records / documentation:

- (a) The records /files maintained by the Licensed Operator should be checked by the inspector to trace the origin, nature and quantities of all raw materials purchased.
- (b) To verify the application of all the inputs used are documented.
- (c) Written or documentary receipts / accounts must be checked for the quantities and consignees of all agricultural products sold by the Licensed Operator. (Quantities sold directly to the buyer should also be accounted on a daily basis by the Licensed Operator).



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

Inspection of input storage units:

Storage area of organic inputs used in production should also be inspected and verified (allowed / restricted as schedule III and IV).

Transportation:

Transportation units should be checked for confirming that the organic products are transported to other units, including wholesalers and retailers, in appropriate closed containers or packaging with a proper label.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

Inspection for production of agricultural products and processed food stuffs composed of plant origin:

- (a) Undertaking from the Licensed Operator to perform the operations in such a way as to comply with Organic Agricultural Produce Grading and Marking Rules.
- (b) Check the facilities available for the processing, packaging and storage of agriculture products before and after the operations.
- (c) Check whether the unit has separate areas within the premises for the storage of products, before and after the operations.
- (d) Whether the operations must be carried out continuously until the complete run is over for organic products and are separated from similar operations performed for non-organic products (place and time of Licensed Operators to be checked).



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

- (e) To ensure that if such operations are not carried out frequently, the Authorized Inspection and Certification Agency shall be informed in advance, for a particular day & time.
- (f) Samples for testing of products should be taken. However, they must be taken where the use of unauthorized products is suspected.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Inspection report :

- (a) The report shall give a full description of the farms / units, collection areas highlighting the storage, processing, production and packaging operations
- (b) The report shall also mention the date and time of last application of inputs on the farm / unit or collection areas (reference to the restricted / prohibited inputs in schedules-III and IV under these Rules).
- (c) The report shall highlight conditions / sanctions any to be imposed for certification.
- (d) In the event of suspicion of any infringement by the Licensed Operator, the inspector shall clearly mention in his report.





**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

## Grant of Certification

1. If the Authorized Inspection and Certification Agency, after a preliminary inquiry, and thorough inspection is satisfied that the applicant having regard to requisite skill, resources, production, processing previous performance and antecedents relevant to the issuance of the License is fit to use the Certification Mark, the Authorized Inspection and Certification Agency shall grant a License in prescribed form authorizing the use of the Certification Mark in respect of the product or class of products manufactured by the applicant in respect of the process employed in any production, manufacture or work, subject to such terms and conditions as specified in these Rules.

The Authorized Inspection and Certification Agency shall intimate the applicant about grant of License.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

2. The Applicant shall be entitled to use the certification or grade designation mark as provided under these Rules and restrict his use thereof to goods or services, which will meet the norms and standard specification of the products. The certification mark may be affixed to the products and/or used on packaging or promotional material or in the context of advertising activities.
  
3. In the event of a withdrawal of the right to use the aforesaid Mark the License shall be returned to the Authorized Inspection and Certification Agency. The right to use the grade designation mark expires at the same time without giving rise to any indemnification claim against NAB and/or Authorized Inspection and Certification Agency.



**Centurion**  
**UNIVERSITY**

*Shaping Lives...  
Empowering Communities...*

4. A License shall be granted on prescribed form for a period of one year and a declaration by Licensed Operator shall be given on prescribed form.
  
5. The Authorized Inspection and Certification Agency may, during the period of the validity of the License, alter by giving one month's notice to a Licensed Operator any terms and conditions subject to which the License has been granted.
  
6. A License shall expire at the end of the period for which it is granted.