

VOLUNTARY CERTIFICATION SCHEME FOR INDIA GAP

- CERTIFICATION PROCESS

1. OBJECTIVE

To ensure an objective assessment and certification of the IndiaGAP produce at the farm, promotion of uniformity in the operation of the certification scheme and the interaction between the Certification Bodies (CBs) and the producers seeking certification.

2. SCOPE

This document covers the certification process of IndiaGAP(Good Agricultural Practices) to achieve certification under any one of the two options described under 3 below.

This document is supplemented by the document on Group Certification process (IGAP-03) which also applies to Individual certification with implementation of Quality Management Systems (QMS) only in case of multiple sites

3. CERTIFICATION OPTIONS FOR GAP CERTIFICATION

Applicants can apply for certification under any of the 2 options (individual or group certification). The options are based on the constitution of the legal entity applying for certification. The following options shall be available for certification:

3.1 Option 1 Individual Certification

Individual producer applies for certification and gets certification.

Note- The producer is defined as a person (individual) or a business (individual or producer group) who is legally responsible for production of products and who has the legal responsibility for the products sold by that farming business.

3.1.1 Multisite without implementation of QMS

Individual producer or one organization owns several production locations or Production Management Units (PMU's) that do not function as separate legal entities applies and gets certification without implementation of Quality Management Systems (QMS)

3.1.2 Multisite with implementation of QMS

Individual producer or one organization owns several production locations or Production Management Units (PMU's) that do not function as separate legal entities applies and gets certification with implementation of Quality Management Systems (QMS)

Note- Details of certification process for QMS implementation is given in IGAP -03

3.2 Option 2 Group certification

A producer/farmer group applies for group certification and the farmer group, as legal entity gets certification.

Note- Details of group certification is given in Group Certification process (IGAP 03)

3.2 The Scheme is open to all farmers/producers or organizations engaged in IndiaGAP implementation who are legal entities in India.

3.3 The information on how to obtain certification for Good Agricultural Produce is also available on the website of QCI (www.qcin.org).

3.4 The certification shall be carried out by the Certification Bodies (CBs) duly accredited for the certification scheme as per ISO/IEC Guide 65/ISO IEC 17065 by NABCB OR approved by QCI. To operate under the Scheme, the CBs will require an extension of scope within the accreditation for ISO/IEC Guide 65/ISO IEC 17065.

4. CERTIFICATION PROCESS-OPTION 1 FOR INDIVIDUAL CERTIFICATION

4.1 Application for certification

4.1.1 Any Farmer/producer/organization who is a legal entity can apply for certification to an approved Certification Body.

Note- Option 1 will cover all elements described under clause 3.1 except 3.1.2 which will be treated in line with group certification

4.1.2 The application shall be made before sowing of the crops.

4.1.3 All relevant information concerning farmer/producers applying for certification shall be recorded for the farmer/producer to become registered. This information will be used to supply the registered party with a unique client number, which will be used as a unique identifier for all certification activities.

4.1.4 The information required is consistent with the information of Certification Agreement signed between the farmer/producer and the CB. The following information is required for each farmer/producer wishing to be registered:

- i) Name of producer/farmer to be certified,
- ii) Annual Area under production,
- iii) Farm produce to be covered,
- iv) First harvest or further harvest details/timings.

4.1.5 The certification body shall maintain and make publicly available accurate information describing its certification processes for granting, maintaining, extending, renewing, reducing, suspending or withdrawing certification, and geographical areas in which it operates. The information shall include:

- a) reference to the Certification Criteria,
- b) procedure for obtaining Certification,
- c) an Application form,
- d) list of documents required to be submitted along with the application,
- e) information on fee for application, initial certification and continuing certification,

- f) documents describing the rights and duties of certified clients, and
- g) information on procedures for handling complaints and appeals.

4.1.6 The CB shall respond to all enquiries received from prospective applicants for certification with complete information for facilitating a registration of an applicant, within seven days of receipt of the query.

4.1.7 The prospective applicant shall apply to the Certification Body on the Application form prescribed by the CB, and provide as minimum information on:

- a) the name and address of applicant with contact details,
- b) proof of legal entity,
- c) location and total land held at location,
- d) whether land is held under ownership or lease
- e) produce being handled,
- f) relevant certification criteria IndiaGAP against which certification is sought,
- g) Produce handling area,
- h) number and competence of manpower,
- i) annual area under cultivation and
- j) covered crop/produces area wise within the annual area.
- k) Since when the area is under cultivation
- l) Any registration with Government Department

4.1.8 The prospective applicant shall along with the application declare any judicial proceedings relating to their operations / product, any proceedings by any Regulatory body or suspension / cancellation / withdrawal of any certification / approvals under any Regulations or otherwise.

4.1.9 Certification is granted only against the latest relevant certification criteria. The certification body shall review all applications for the above and ensure the same.

4.1.10 All applications for certification shall be reviewed by the certification body for adequacy and deficiencies observed, if any, shall be informed to applicant within seven days of receipt of application. Review of applications shall be done by a competent person. Records of review shall be maintained.

4.1.11 The applications found to be complete and supported with all documents sought shall be accepted and registered in order of receipt with a unique identification number, acknowledged and records maintained. Registration should be done within seven days of receipt.

4.1.12 Antecedents of applications shall be verified. If punished under the law, the application from the same person/organization will not be entertained during the period of punishment and in any case for at least one year from the date of punishment.

4.1.13 Applications from farmers/producers who have earlier either misused the Certification/certification mark, or whose earlier certificate was cancelled because of violation of terms and conditions/misuse of certification mark shall not be entertained within one year of cancellation of the certificate by any CB.

4.1.14 Applications from farmer/producer found to be misusing the Certification/certification Mark while their application is being processed for grant of certificate, shall not be processed any further, and rejected after giving a due notice of 15 days. Fresh applications from them shall be treated as per clause 4.1.13 given above.

4.1.15 Requests for grant of certificates from ex-applicants shall be processed like a fresh applicant and the entire procedure for grant of certificate be adhered to.

4.1.16 Certification Bodies shall reject or close an application under the following conditions;

- a) If Initial Evaluation is not carried out within six months of registration of application,
- b) If the follow up evaluation carried out after organization has confirmed necessary corrective actions is not satisfactory
- c) Lack of competent personnel for production/cultivation and handling,
- d) If farmer/producer shows no progress towards completion of corrective actions within three months of Initial Evaluation and six months of Registration of application,
- e) Misuse of Certification/certification mark,
- f) Evidence of malpractice and
- g) Voluntary withdrawal of application.

4.1.17 In the event of a closure/rejection of an Application, the application fee submitted with the application may be refunded as decided by the certification body.

4.2 Assessment process

4.2.1 Control Points and Compliance Criteria (CPCC)

The Control Points and Compliance Criteria (CPCC) checklist (See Annex A) based on respective IndiaGAP standards shall be used both for internal and external assessments.

4.2.2 Pre-assessment

4.2.2.1 The applicant may seek a pre-assessment, which is not mandatory, during which the certification body shall check the applicant's state of preparedness for the evaluation, and availability of competent personnel and adequate records of producers /farmer on CPCC.

4.2.2.2 Deficiencies observed with respect to the certification criteria during the pre-assessment shall be informed in writing to the applicant.

4.2.2.3 There shall be only one pre-assessment.

4.2.3 Initial evaluation

4.2.3.1 A single stage Initial evaluation shall be carried out by a competent evaluation team of the certification body.

4.2.3.2 Initial Evaluation of the product and the processes at the site of the applicant shall be conducted on satisfactory fulfilment of all application requirements.

4.2.3.3 The certification body shall communicate the composition of the team and duration of Initial Evaluation to the applicant for verifying any conflict of interest and any objections to the team composition by the applicant should be examined on merit.

4.2.4 Assessment methodology

4.2.4.1 For getting GAP certification, a registered producer shall perform either self assessment (option 1 and option 1 Multisite without QMS) or internal inspection (Option 1 Multisite with QMS and Option 2) and receive external inspections by the chosen certification body.

4.2.4.2 Option 1 –Single sites and multiple sites without QMS

a) **Self assessment-** The self assessment shall:

- Cover all sites, products and processes under the certification scope and comply with the requirements set out in applicable control points
- Be carried out under the responsibility of the producer
- Be carried out at least annually before the initial or surveillance inspections against complete checklist of all scope(s) and sub scope (s) and registered areas. The completed checklist shall be available on site for review
- Comments and positive findings during the self assessment shall be recorded as described in the checklist

b) External inspection

i) The inspection (announced and unannounced) shall be carried out by a CB inspector or auditor. The CB shall inspect the complete checklist of applicable scope and sub scope

- Announced inspections
 - ✓ Each applicant shall undergo one announced external inspection at the initial assessment and annually thereafter,
 - ✓ Inspections shall cover all acceptable products, all registered production locations and each registered product handling site

ii) External unannounced surveillance inspections

- The CB shall carry out unannounced surveillance Inspections of a minimum of 10% of all its producers the CB has certified under Option 1
- The CB shall inspect the Major and Minor of the applicable scope(s) and sub-scope(s). Any non-compliance will be handled in the same way as those found during an announced inspection.
- The CB will inform the certificate holder in advance of the intended visit. This notification will normally not exceed 48 hours. In the exceptional cases where it is impossible for the certificate holder to accept the proposed date (due to medical or other justifiable reasons), the certificate holder will receive one more chance to be informed of an unannounced surveillance inspection or audit. The certificate holder shall receive a written warning if the first proposed date has not been

accepted. The producer will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a suspension of all products will be issued.

- c) Summary of assessments-Assessments to be undertaken before certification is issued (option 1 Multisite without QMS initial evaluation) and annually thereafter (Surveillance evaluation):

| Assessments | Initial evaluation (first year only) | Subsequent evaluations |
|--------------------------------------|--|--|
| Self assessment by producer | Entire scope (All registered sites) | Entire scope (All registered sites) |
| Externally by the certification body | Announced inspection of Entire scope(All registered sites) | 1. Announced inspection of Entire scope(All registered sites) 2. unannounced inspection of (minimum 10% of the certificate holders) |

4.2.4.3 Option 2 and option 1 multisite with QMS

a) Internal assessment

- i) The applicant shall undertake internal assessment of all producers and /or PMU's to verify and ensure compliance with the certification requirements,
- ii) The internal assessment shall comply with the requirements set out in IGAP 03 and include:
 - A minimum of one internal audit of QMS shall be carried out by the internal auditor before the first CB audit and thereafter once annually
 - A minimum of one internal inspection of each registered producer shall be carried out by internal inspectors before the first CB inspection and thereafter once annually,

b) External Quality Management System (QMS) audit

- i) The audit (announced and unannounced) shall be carried out by a CB auditor
- ii) The audit (announced and unannounced) shall be based on the QMS checklist.

- QMS announced audit

The CB shall carry out one announced external audit of the QMS at the initial assessment and thereafter once annually,

- QMS unannounced surveillance audits

- ✓ The CB shall carry out additional QMS unannounced external audits on a minimum of 10% of the certified producer groups and multisites annually,
- ✓ Noncompliance detected shall be handled as in announced audit. Non-conformances will lead sanction applied to the whole group and multisites

- ✓ The CB will inform the certificate holder of the visit. This notification will normally not exceed 48 hours in advance of the intended visit. In the exceptional case where it is impossible for the certificate holder to accept the proposed date (due to medical or other justifiable reasons), the certificate holder will receive one more chance to be informed of an unannounced surveillance inspection or audit. The certificate holder shall receive a written warning if the first proposed date has not been accepted. The producer will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a suspension of all products will be issued.

c) External producer or site inspection

- i) The CB inspector auditor shall carry out the inspection.
- ii) The CB shall inspect the complete checklist of applicable scope and sub scope
- iii) Initial Inspection: As a minimum square root of the total number of producers and the production sites in the certification scope shall be inspected before a new certificate can be issued (Initial certification or inspection by a new CB)
- iv) Surveillance producer inspection:
 - ✓ The CB shall carry out announced external inspections to each producer group and multi-site annually. The minimum number of producers to be inspected per certificate holder depends on the outcome of the previous unannounced inspections and QMS audit.
 - ✓ The minimum number of producers/sites to be inspected during a cycle shall be equivalent to the square root of the current number of producers /sites. Grouped by the same type of activities.
 - ✓ The inspections shall be split into two: 50% shall be inspected unannounced during the validity period of a certificate (12 months), and the other 50% during the announced surveillance inspection.
 - ✓ Only if the producers inspected externally have no sanctions raised in that surveillance inspection, the following regular announced inspection by the CB will be reduced to the square root of the current number of the producers/PMUs minus the number of producers/PMUs inspected unannounced
 - ✓ Before a certification decision can be made, square root of total numbers of current producer member and/ PMUs shall have been inspected during the last 12 months..

d) Summary of assessments

Assessments to be undertaken before certification is issued (initial evaluation) and annually thereafter (Surveillance evaluation):

| Assessments | Initial evaluation (In the first year) | Subsequent evaluations |
|--|--|---|
| Internally by producer group and option 1 multisite operation with QMS | <ol style="list-style-type: none"> 1. Internal QMS audit 2. Internal inspection of each producer and/or PMU | <ol style="list-style-type: none"> 1. Internal QMS audit 2. Internal inspection of each producer and/or PMU |
| Externally by the certification body | <ol style="list-style-type: none"> 1. Announced QMS audit 2. Announced inspection to (minimum) square root of producer member and/or PMUs 3. Unannounced inspection to (minimum) 50% of square root of producers and /or PMUs | <ol style="list-style-type: none"> 1. Announced QMS audit 2. Unannounced QMS audit to 10% of certificate holders 3. Announced inspection to (minimum) square root of actual number of producer and/or PMUs minus the number inspected unannounced during previous cycle. 4. Unannounced inspection to (minimum) 50% of square root of actual number of producers and /or PMUs |

4.2.4.2 Inspection timings

a) Initial(first) inspections

i) The inspection of a farmer/producer takes place after registration with the CB depending on the produce to be inspected. The ideal timing for evaluation of all control criteria shall be during harvest time when sufficient records/evidence is available, especially to facilitate verification of the control points related to harvest.

ii) Alternative timing options may be followed where evaluation during harvest time is not possible. The first inspection therefore takes place before or after harvest. In these cases the justification for alternative timings shall be recorded in the audit report. Justification for alternative timing may be logistics and time constraints of producer and/or inspector, variation in harvest dates etc, perennial crop not yet producing mature produce, etc. Additionally following constraints may be followed by the CB:

- Practically, inspection of records and visual evidence requires that the evaluation must take place as close to harvest as possible, for the evaluators to verify as many control points as possible.
- If inspection is made before harvest, it is not possible to inspect certain control points which either be covered by a follow up visit or documentary proof submitted by producer.
- If harvest has already taken place at the time of inspection, producer shall retain evidence for compliance of control points related to that harvest,
- The CB shall make sure that in the sampling of unannounced visits, those producers that did not receive a first inspection or recertification inspection during harvest have greater chance of getting unannounced inspection during the next

harvest. Additionally the CB must make every effort to carry out subsequent inspection during harvest.

b) First Inspection Timing for Multiple produce Certification

- i) The producer may be seeking certification for more than one produce, and the produce may not all have the same seasonal timing, i.e. harvest of one produce does not necessarily coincide with the harvest of other produce.
- ii) Where the produce to be included in the certification scope are concurrent, i.e. harvested at the same time, then the first evaluation will be timed so that at least one crop can be evaluated at harvest, making an assumption that the other crops getting ready for harvest will be compliant to the same degree.
- iii) Where the crops to be included in the certification scope are consecutive, i.e. the production of one crop finalises before the production of the next one commences, then in the first year a full evaluation of the first crop must be made during harvesting. Subsequent crops grown in that same first year can be added to the certificate only when compliance has been verified for each crop, either through a site inspection at harvest of each crop or through data collection and discussion with the applicant

4.3 Certification process

4.3.1 The team shall witness the processes covering as many CPCC as possible during evaluation of the applicant. Any nonconformity observed during evaluation with respect to the conformance criteria shall be informed in writing to the applicant for taking necessary action.

4.3.2 Compliance levels for certification

4.3.2.1 The producer is required to comply with three types of compliance criteria set out in the GAP standard. These are Critical, Major and minor, which must be fulfilled in all respects before certification

4.3.2.2 Compliance is indicated with a “Yes” (for compliant), “No” (for not compliant) on the checklist (See Annex A). Evidence/comments should be provided for each control criteria- these shall enable the audit trail to be reviewed after the event, and will include details of references taken during the evaluation. It is, however, obligatory to give evidence /comments for all the critical and major compliance criteria inspected in all external evaluation, self-assessments, and internal evaluation.

4.3.2.3 The level of compliance shall be established based on the following:

- a) Critical- 100% compliance of all applicable critical control points
- b) Major- 90% compliance of all applicable (missing)major control points is compulsory
- c) Minor-75% of compliance of all applicable minor control points is compulsory.

4.3.2.4 Certification Body shall maintain records of all certification activities- application registration, documents provided by applicant, on site evaluation report and evaluation and review of reports for grant of certification.

4.3.2.4 Internal self assessment quality assurance

The individual producer/farmer shall carry out an internal self-assessment at least once a year. This self assessment will be carried out under the responsibility of the producer/organization.

The self-assessment shall be against the complete checklist (Critical, Major and Minor) of the applicable scope(s). The completed checklist shall be available on site for review by the evaluator during the CB evaluation.

4.3.3 Grant of Certification

4.3.3.1 The Certification Body shall grant certification after ensuring:

- a) complete compliance to the Certification Criteria based on evaluation reports ,
- b) certification scheme requirements, and
- c) satisfactory resolution of nonconformities raised.

There shall be no conditional grant of certification.

4.3.3.2 On grant of certification, the Certification body shall inform the farmer/organization and issue a Certificate, uniquely identified, to the farmer/organization indicating the names of the produce certified, the certification criteria against which the certification has been awarded, effective date, validity date, and the name and address of the farmer /organization site where certified as a minimum.

4.3.3.3 No Brand names shall be mentioned on the Certificate document or any other document intimating grant of certification.

4.3.3.4 The effective date of certification shall not be before the date of decision to grant the certification to the farmer/organization.

4.3.3.5 The certificate for produce certification shall be for a period of 3 years from the date of decision to grant the produce certification.

4.3.4 Scope of certification

4.3.4.1 The product scope is linked to the location where that product is produced. Certificate is issued to the registered producer/organization, on the farms where the products are produced and for the products declared. The legal entity of the places certified must be declared by the certificate holder.

4.3.4.2 The entire production process of the declared and registered produce must comply with requirements. Certified locations cannot be separated into growing areas or handling facilities that are certified and other growing areas or handling facilities of the same product that are excluded from certification.

4.4 Surveillance Evaluation

4.4.1 Surveillance evaluations of the certified sites shall be carried out at least once a year, ensuring that the gap between two surveillance evaluations does not exceed one year. The Certification Body may allow a grace period of one month based on valid grounds beyond which delays shall lead to suspension of the certificate. The surveillance should be timed around harvest time of some crop under certification

4.4.2 The full checklist and verification process shall be completed by the evaluator annually. There must be at least one produce registered in the field or in the storage evaluated to give the CB confidence that any other registered crops not present at that time, are handled in compliance with the standard.

4.4.3 The certification body shall ensure coverage of the entire CPCC checklist (Annex A) so that basic operations and their controls are witnessed during the surveillance evaluation. Surveillance planning must keep in view the crop maturity timings to coincide visit with harvest time as far as possible.

4.4.4 In case where the farmer/organization is certified to a number of produce of different types under the same certificate, certification body shall plan for surveillance evaluation with a view to covering as much of the entire range of produce during the certification period.

4.4.5 During the surveillance evaluation, the evaluators shall as a minimum check and report on the following;

- a) Status of compliance to the requirements of the certification criteria,
- b) Internal self assessment reports,
- c) Handling and disposal of nonconforming products,
- d) Actions taken on nonconformities observed during the previous evaluation,
- e) Redressal of complaints, if any,
- f) Information on production of produce and the names of consignees to whom certified produce have been supplied.

4.4.6 If any nonconformity is observed, the same shall be categorized as either a Critical, Major or Minor. The nonconformity report shall be provided to the client in writing, generally on site, for correction and corrective action. Details of the same shall be reported in the Surveillance evaluation report.

4.4.7 The CB may increase the frequency of surveillances with duly recorded justification for reasons like investigation of complaints, any doubts about continuing adherence to standards prescribed etc.

4.4.8 If the surveillance evaluation results in an infructuous visit due to any reason, the CB shall conduct another surveillance evaluation. Such additional evaluations may be charged to the certified unit as decided by the Certification Body.

4.5 Suspension of certification

4.5.1 The certification body shall issue due notice of at least one week for suspension of certification to the unit. In case of serious failures, the notice may not be required.

4.5.2 A Suspension is issued when:

- a) Unsatisfactory performance during two consecutive Surveillance evaluations on account of any of these aspects is observed:
- b) A suspension may also be issued to the producer who voluntarily asks for it, for some (partial) or all (complete) of his products.

4.5.3 After the Suspension is issued, a time period allowed for correction and corrective action will be set by the CB not exceeding 6 months. If the suspension is voluntary, the period for corrections and corrective actions is set by the producer/organization, which must be agreed upon with the CB, but not exceed 6 months.

4.5.4 During the period of suspension, the producer shall be prevented from using the logo/trademark, Licence/certificate or any other type of document that has any relation to certification.

4.5.5 The producer/organization shall be advised to undertake a root cause analysis and identify the necessary corrective actions for resolving the same.

4.5.6 The certification body shall revoke suspension only when corrective actions have been taken and verified by the certification body

4.5.7 Suspension shall not exceed a period of six months. If the cause of the Suspension is not resolved within the time period set, the certification shall be cancelled.

4.6 Cancellation of certification

4.6.1 A Cancellation shall be issued when:

- a) A producer cannot show sufficient corrective action after Suspension has been issued and six months have elapsed,
- b) A nonconformity in one scope leads to doubt about the integrity of the produce,
- c) Major contractual nonconformities are detected.
- d) Certified client contravenes the terms and conditions of certification and provisions of certification scheme like suspension of certificate, inadequate corrective actions, lack of compliance to criteria for Certification etc

4.6.2 A Cancellation of the contract will result in the total prohibition of the use of the logo/trademark, Licence/certificate.

4.6.3 A producer that has had a Cancellation applied may not re-submit for certification until 12 months after the date of Cancellation.

4.6.4 The producer must either resolve the nonconformities communicated or appeal to the CB in writing against the nonconformities explaining the reasons for the appeal.

4.6.5 Certification body shall cancel the certification at the request of the certified client, if the operation(s) in the certified client's premises can no longer be carried due to reasons of natural calamities such as flood, fire, earthquake etc, or closure of operations etc.

4.7 Recertification

4.7.1 The certificate shall be revalidated at the end of every year (See 4.7.5) depending on the performance of operation of certification but recertification shall be at the end of 3 years

4.7.2 The certification body shall send the recertification notice to the certified client at least four months prior to expiry of certificate validity period.

4.7.3 The certified farmer/producer shall apply for recertification in the prescribed format along with fee, if any prescribed by the CB at least 3 months before expiry of the certification.

4.7.4 The certification body shall review the performance of the certified client who has sought recertification, with respect to compliance to certification criteria during the certification cycle prior to a decision on the recertification.

4.7.5 The review shall be based on:

- a) The surveillance evaluation reports,
- b) Handling and disposition of nonconforming products,
- c) Any suspension of certificate during the previous validity period,
- d) Corrective actions taken,
- e) Complaints, if any received, and
- f) Adverse information, if any.

4.7.6 Recertification shall be based on the satisfactory performance of the certified client.

4.7.7 There shall be no conditional recertification.

4.7.8 When performance of the certified client is not satisfactory, the certification body shall withhold the recertification clearly stating the reasons and give time for effecting corrective actions. The verification and decision on recertification shall be taken within 3 months of the expiry date.

4.7.9 The corrective actions shall be verified generally on site unless the CB can verify the same off site prior to considering for recertification.

4.7.10 The recertification shall be effected from the date of the expiry of the previous certificate and the intervening period shall be treated as period of suspension and clearly stated on the Certificate. The certified producer/organization shall not claim certification or use the Certification during this period.

4.7.11 In case the certified unit does not complete satisfactorily actions within three months, the certificate shall stand expired from the date of expiry of previous validity.

4.8 Change of Ownership/Name

4.8.1 In the event of change of Ownership, the new owner farmer/producer shall submit proof of change of ownership. He shall also submit acceptance to the agreement for Certification with the CB regarding the operation and payment of fees. The same process shall be followed

as and when an existing applicant undergoes a change in ownership. Such changes shall not call for a visit to the site.

4.8.2 In case of change of name, the applicant/certified client shall inform the change in the name to the CB supported with documentary evidence, and if satisfied the CB shall endorse the new name in the application/certificate.

4.9 Extension of scope

4.9.1 Extension of scope of certificate for inclusion of additional produce, varieties of the under the same certificate shall be done after ascertaining that the certified client has requisite resources required for the new produce/variety and technical skills as evaluated at harvest of that particular produce are available.

4.9.2 The extension of scope shall be clearly mentioned in the certificate document along with its date of inclusion for avoiding any misrepresentation or misinterpretation. Irrespective of the date of inclusion, the validity of the Certificate shall remain unchanged.

4.10 Certificate

4.10.1 The CB shall provide a certification document to the certified client that clearly conveys, or permits identification of:

- a) the name and geographic location of the client ,
- b) the dates of granting, extending or renewing certification,
- c) the expiry date or recertification due date consistent with the recertification cycle,
- d) a unique identification code,
- e) the certification criteria, including issue number and/or revision, against which the product(s) are certified,
- f) the scope of certification with respect to product(s) as applicable at the identified site,
- g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol) may be used provided they are not misleading or ambiguous,
- h) any other information required by the certification criteria used for certification,
- i) in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents

4.10.2 The effective date on a certification document shall not be before the date of the certification / recertification decision.

4.10.3 The formal certification documentation shall include the signature of the individual(s) of the certification body assigned such responsibility.

4.11 Fee

4.11.1 A fee shall be charged to the client for various activities of the scheme, without any discrimination between units, geographical location, size of the unit.

4.11.2 The CB's fee structure shall be publicly accessible and also be provided on request.

4.11.3 CB shall notify and obtain consent to its fee structure from the clients prior to grant of certification. As and when the fee undergoes a change, the same shall be communicated to all applicants and clients certified under this scheme of certification for their acceptance.

CHECKLISTS FOR SELF-ASSESSMENT FOR GOOD AGRICULTURAL PRACTICES (GAP)

CONTROL POINTS AND COMPLIANCE CRITERIA- ALL FARM BASE MODULE

| Cl. No. | Item | Level | Control Point | Compliance | | Remarks |
|----------|--|----------|--|------------|----|---------|
| | | | | Yes | No | |
| AF1 | RECORD KEEPING AND INTERNAL SELF ASSESSMENT/ INTERNAL INSPECTION (MISSING HERE0 | | | | | |
| | Important details of farming practices should be recorded and records retained (missing here) | | | | | |
| AF.1.1 | Duration of record keeping | Major | Are all records requested during the external inspection accessible and retained for a minimum period of two years, unless a longer requirement is stated in specific control points? | | | |
| AF.1.2 | Internal self assessment | Critical | Does the producer or producer group take responsibility to undertake a minimum of one internal self-assessment or producer group internal inspection, respectively, per year against the INDGAP standard? | | | |
| AF.1.3 | Corrective actions on non-conformities | Critical | Are effective corrective actions taken as a result of non-conformances detected during the internal self-assessment or internal producer group inspections? | | | |
| AF.2 | SITE HISTORY AND SITE MANAGEMENT | | | | | |
| AF.2.1 | Site History | | | | | |
| AF.2.1.1 | Recording system | Critical | Is a recording system established for each unit of production or other area/location to provide a permanent record of the livestock/aquaculture production and/or agriculture activities undertaken at those locations? Are these records kept in an ordered and up-to-date fashion? | | | |
| AF.2.1.2 | Reference system | Major | Is a reference system for each field, orchard, greenhouse, yard, plot, livestock building or other area/location used in production established and referenced on a farm plan or map? | | | |
| AF.2.1.3 | Vicinity of potential risk | Critical | Vicinity to brick kilns, chemical or other industries, rivers, canals, other water sources, hill-rocks, forests, pastures and reclaimed land and measures in place to check contamination and other potential risks. | | | |
| AF.2.2 | Site Management (should be bold) | | | | | |
| AF.2.2.1 | Risk assessment for new agri. sites | Critical | Is there a risk assessment for new agricultural sites (i.e. crop) or existing sites only where risks have changed, which shows the site in question to be suitable for production, with regards to food safety, operator health, the environment and animal health where applicable? | | | |
| AF.2.2.2 | Management plan to minimize all identified risks | Major | Has a management plan been developed setting out strategies to minimize all identified risks, such as pollution or water table contamination? Are the results of this analysis recorded and used to justify that the site in question is suitable? | | | |
| AF.3 | WORKERS HEALTH, SAFETY AND WELFARE | | | | | |
| AF.3.1 | Risk Assessments | | | | | |
| AF.3.1.1 | Risk assessment of working conditions | Major | Does the farm have a written risk assessment for safe and healthy working conditions? | | | |
| AF.3.1.2 | Health, safety and welfare policy | Major | Does the farm have a written health, safety and welfare policy and procedures including issues of the risk assessment of AF.3.1.1? | | | |

| | | | | | |
|----------|--|----------|---|--|--|
| AF.3.2 | Training | | | | |
| AF.3.2.1 | Training activities | Major | Is there a record kept for training activities and attendees? | | |
| AF.3.2 | Training | | | | |
| AF.3.2.1 | Training activities | Major | Is there a record kept for training activities and attendees? | | |
| AF.3.2.2 | Certificates of competence | Critical | Do all workers handling and/or administering veterinary medicines, chemicals, disinfectants, plant protection products, biocides or other hazardous substances and all workers operating dangerous or complex equipment as defined in the risk assessment in AF.3.1.1 have certificates of competence, and/or details of other such qualifications? | | |
| AF.3.2.3 | Health and safety training | Major | Have all workers received adequate health and safety training and are they instructed according to the risk assessment in AF.3.1.1? | | |
| AF.3.2.4 | Number of persons trained in first aid | Major | Is there always an appropriate number of persons (at least one person) trained in first aid present on each farm whenever on-farm activities are being carried out? | | |
| AF.3.2.5 | Documentation of hygiene conditions | Major | Does the farm have documented hygiene instructions? | | |
| AF.3.2.6 | Training on basic hygiene | Major | Have all persons working on the farm received basic hygiene training according to the hygiene instructions in AF.3.2.5 ? | | |
| AF.3.2.7 | Farm hygiene procedures | Major | Are the farm's hygiene procedures implemented ? | | |
| AF.3.2.8 | Personal safety and hygiene | Major | Are all subcontractors and visitors aware of the relevant procedures on personal safety and hygiene? | | |
| AF.3.3 | Hazards and First Aid | | | | |
| AF.3.3.1 | Prevention of accidents | Critical | Have adequate precautions been taken to prevent on farm accidents during operation of farm equipments/ machinery? | | |
| AF.3.3.2 | Accident and emergency procedures | Major | Do accident and emergency procedures exist; are they visually displayed and communicated to all persons associated with the farm activities? | | |
| AF.3.3.3 | Warning signs | Major | Are potential hazards clearly identified by warning signs and placed where appropriate? | | |
| AF.3.3.4 | Availability of safety advice | Major | Is safety advice available /accessible for substances hazardous to worker health, when required? | | |
| AF.3.3.5 | Availability of first aid kits | Major | Are First Aid kits present at all permanent sites and in the vicinity of fieldwork? | | |
| AF.3.4 | Protective Clothing/Equipment | | | | |
| AF.3.4.1 | Availability of protective clothing | Major | Are workers (including subcontractors) equipped with suitable protective clothing in accordance with legal requirements and/or label instructions or as authorized by a competent authority? | | |
| AF.3.4.2 | Cleaning of protective clothing | Critical | Is protective clothing cleaned after use and stored so as to prevent contamination of the clothing or equipment? | | |
| AF.3.5 | Worker Welfare | | | | |
| AF.3.5.1 | Person responsible for worker welfare | Critical | Is a member of management clearly identifiable as responsible for workers health, safety and welfare? | | |

| | | | | | | |
|----------|---|----------|---|--|--|--|
| AF.3.5.2 | Communication between workers and management | Minor. | Do regular two-way communication meetings take place between management and workers? Are there records from such meetings? | | | |
| AF.3.5.3 | Overview information of all workers | Major | Is there information available that provide an accurate overview over all workers of the farm? | | | |
| AF.3.5.4 | Eating area for workers | Major | Do workers have access to clean food storage areas, designated eating areas, hand washing facilities and drinking water? | | | |
| AF.3.5.5 | Hygiene in living quarters | Major | Are on site living quarters habitable and have the basic services and facilities? | | | |
| AF.3.5.6 | On farm electrical installation | Critical | Are all electrical installations on the farm and other working areas have adequate safety measures? | | | |
| AF.3.6 | Subcontractors | | | | | |
| AF.3.6.1 | Information on subcontractors | Major | When the producer makes use of subcontractors, is all the relevant information available on farm? | | | |
| AF.4 | WASTE AND POLLUTION MANAGEMENT, RECYCLING AND RE-USE | | | | | |
| AF.4.1 | Identification of Waste and Pollutants | | | | | |
| AF.4.1.1 | Sources of pollution | Major | Have all possible waste products and sources of pollution been identified in all areas of the business? | | | |
| AF.4.2 | Waste and Pollution Action Plan | | | | | |
| AF.4.2.1 | Documentation of farm waste management | Minor. | Is there a documented farm waste management plan to avoid or reduce wastage and pollution and avoid the use of landfill or burning, by waste recycling? Are organic wastes composted on the farm and utilized for soil conditioning, provided there is no risk of disease carry-over? | | | |
| AF.4.2.2 | Implementation of farm waste management plan | Minor. | Has this waste management plan been implemented? | | | |
| AF.4.2.3 | Cleaning of litter and waste | Critical | Are the farm and premises clear of litter and waste to avoid establishing a breeding ground for pests and diseases, which could result in a food safety risk? | | | |
| AF.4.2.4 | Provisions for waste disposal | Minor. | Do the premises have adequate provisions for waste disposal? | | | |
| AF.5 | ENVIRONMENT AND CONSERVATION | | | | | |
| AF.5.1 | Impact of Farming on the Environment and Biodiversity | | | | | |
| AF.5.1.1 | Conservation of wildlife | Major | Does each producer have a conservation of wildlife and conservation plan for the enterprise that acknowledges the impact of farming activities on the environment? | | | |
| AF.5.1.2 | Improvement of environment | Minor. | Has the producer considered how to improve the environment for the benefit of the local community and flora and fauna? | | | |
| AF.5.1.3 | Compatibility with agricultural production | Minor. | Is this policy compatible with sustainable commercial agricultural production and does it minimize environmental impact of the agricultural activity? | | | |

| | | | | | | |
|----------|----------------------------------|----------|--|--|--|--|
| AF.5.1.4 | Biodiversity audit plan | Minor. | Does the plan include a baseline audit to understand existing animal and plant diversity on the farm? | | | |
| AF.5.1.5 | Protection of farm habitat | Minor. | Does the plan include action to avoid damage and deterioration of habitats on the farm? | | | |
| AF.5.1.6 | Enhancement of farm habitat | Minor. | Does the plan include activities to enhance habitats and increase biodiversity on the farm? | | | |
| AF.5.2 | Unproductive Sites | | | | | |
| AF.5.2.1 | Conversion of unproductive sites | Minor. | Has consideration been given to the conversion of unproductive sites (e.g. low lying wet areas, woodlands, headland strip or areas of impoverished soil) to conservation areas for the encouragement of natural flora and fauna? | | | |
| AF.5.3 | Energy Efficiency | | | | | |
| AF.5.3.1 | Monitoring of energy use | Minor. | Can the producer show monitoring of energy use on the farm? | | | |
| AF.6 | COMPLAINTS | | | | | |
| AF.6.1 | Complaint procedure | Critical | Is there a complaint procedure available relating to issues covered by the INDGAP standard? | | | |
| AF.6.2 | Record of action on complaints | Critical | Does the complaints procedure ensure that complaints are adequately recorded, studied and followed up including a record of actions taken? | | | |
| AF.7 | TRACEABILITY | | | | | |
| AF.7.1 | Product recall procedure | Critical | Do all producers have a documented recall procedure to manage the withdrawal of registered products from the market? | | | |
| AF.8 | VISITORS SAFETY | | | | | |
| AF.8.1 | Instructions on visitor safety | Minor. | Are there instructions on the safety issues for visitors? | | | |

CONTROL POINTS AND COMPLIANCE CRITERIA-CROPS BASE MODULE

| Cl. No. | Item | Level | Control Point | Compliance | | Remarks |
|---------|---------------------------------------|----------|--|------------|----|---------|
| | | | | Yes | No | |
| CB.1 | | | Traceability | | | |
| CB.1.1 | Feasibility of traceability | Critical | Is INDGAP registered product traceable back to and trackable from the registered farm (and other relevant registered areas) where it has been grown? | | | |
| CB.1.2 | Farm location | Major | Survey No./part-survey No., Village, Tehsil District, State where the farm is located along with total area under cultivation and specify the area under INDGAP certification. | | | |
| CB.1.3 | Identification of farm infrastructure | Major | Are fields/plots and structures identified on the field map? | | | |
| CB.2 | PROPAGATION MATERIAL | | | | | |
| CB.2.1 | Quality and Health | | | | | |

| | | | | | | |
|------------|---|----------|--|--|--|--|
| CB.2.1.1 | Seed quality | Minor. | Is there a document that guarantees seed quality (free from injurious pests, diseases, virus, etc.)? | | | |
| CB.2.1.2 | Quality of propagation material | Minor. | Is purchased propagation material free of visible signs of pest and disease? | | | |
| CB.2.1.3 | Documentation of propagation material | Major | Are quality guarantees or certified production guarantees documented for purchased propagation material? | | | |
| CB.2.1.4 | Quality system in in-house nursery | Major | Are plant health quality control systems operational for in-house nursery propagation? | | | |
| CB.2.1.5 | Recommendation of SAU / NRC /other govt. approved organizations | Major | Are improved varieties of seeds recommended by the SAU/NRC/other govt. approved organizations used? If hybrid seeds are used the brand name. | | | |
| CB.2.1.5.1 | Recommendation of GEAC | Critical | if GM crops are used, the GEAC number, permitting its usage, along with evidence of the source of the seeds must be recorded. | | | |
| CB.2.1.6 | Pest / disease resistance | Major | Do the seeds have any special quality with reference to resistance to pests/diseases, quality of the produce, germination percentage, expiry date, physical or any other characteristics? | | | |
| CB.2.1.7 | Treatment of seeds | Major | Are the seeds treated with approved fungicides / pesticides and, if so, are these differentiated by colour to avoid accidental use in feed or food? Whether only approved colours/ dyes have been used for colour coating? | | | |
| CB.2.1.8 | Certification of planting material | Major | Do the seedlings, saplings, graft and buddings, cuttings have been procured from a certified source and whether these have any special quality with reference to resistance to pests/ diseases, quality of the produce, physical or any other characteristics? | | | |
| CB.2.1.9 | Grower awareness of scion variety | Major | Is the grower aware of the scion variety used and its source & qualities? | | | |
| CB.2.1.10 | Grower awareness of clones | Major | Is the grower aware of the clones or hybrid combinations from which the scion material is obtained for propagation and its merits, if any? | | | |
| CB.2.1.11 | Quality of rootstock | Major | Is the rootstock used for propagation, appropriate for the situation and the quality of the produce desired? | | | |
| CB.2.1.12 | Propagation of rootstock | Major | Is the rootstock material sexually or vegetatively propagated? | | | |
| | | | On-farm Nursery | | | |
| CB.2.1.13 | Use of recommended technology | Major | Has the recommended technology both in primary and secondary nursery, as applicable, followed in raising the seedlings in the open or under protected conditions? Is the source of technology documented? | | | |
| CB.2.1.14 | Crop protection measures | Major | Are the preventive measures against pests and diseases taken? Are crop protection treatments applied in the nursery or during plant propagation recorded? Is a record of approved products and treatment methodology used during seedling growth in the nursery, maintained? | | | |
| CB.2.2 | | | Pest and Disease Resistance | | | |

| | | | | | | |
|----------|---|----------|--|--|--|--|
| CB.2.2.1 | Varietal selection | Major | Does the producer consider pest and disease resistance/tolerance characteristics during variety selection? | | | |
| CB.2.3 | | | Chemical Treatments and Dressings | | | |
| CB.2.3.1 | Rootstock treatment records | Major | Is the use of seed/annual rootstocks treatments recorded? | | | |
| CB.2.3.2 | Record of plant protection products | Major | Are plant protection product treatments on in-house nursery propagation material applied during the plant propagation period recorded? | | | |
| CB.2.4 | Sowing/Planting | | | | | |
| CB.2.4.1 | Record of sowing / planting methods | Major | Does the producer keep records on sowing/planting methods, seed/planting rate, sowing/planting date? | | | |
| CB.2.5 | Genetically Modified Organisms (N/A if no Genetically Modified varieties are used) Guidance note for GMO | | | | | |
| CB.2.5.1 | Legal compliance of GMOs | Critical | Does the planting of or trials with GMO's comply with all applicable legislation in the country of production? | | | |
| CB.2.5.2 | Documentation of GMOs | Major | Is there documentation available when the producer is growing genetically modified organisms? | | | |
| CB.2.5.3 | Communication of GMOs | Critical | Did the producer inform their direct clients of the GMO status of the product? | | | |
| CB.2.5.4 | Handling plan for GMOs | Critical | Is there a plan for handling GM material (crops and trials) setting out strategies to minimize contamination risks, such as accidental mixing of adjacent non-GM crops and maintaining product integrity? | | | |
| CB.2.5.5 | Segregation of GMO crops | Critical | Are GMO crops stored separately from other crops to avoid adventitious mixing? | | | |
| CB.3 | SITE HISTORY AND SITE MANAGEMENT | | | | | |
| CB.3.1 | | | Rotations | | | |
| CB.3.1.1 | Crop rotation | Minor. | Is there, where feasible, crop rotation for annual crops? | | | |
| CB.4 | SOIL MANAGEMENT | | | | | |
| CB.4.1 | Soil Mapping | | | | | |
| CB.4.1.1 | Mapping of soil | Minor. | Have soil maps been prepared for the farm? | | | |
| CB.4.1.2 | Soil health | Major | Is soil health based on chemical composition suited for crops? | | | |
| CB.4.2 | Cultivation | | | | | |
| CB.4.2.1 | Soil maintenance | Minor. | Have techniques been used that improve or maintain soil structure, and to avoid soil compaction? Is the preparation of the soil for growing crop according to norms set out by the NRC/SAU or as per the standard practices? | | | |
| CB.4.3 | Soil Erosion | | | | | |
| CB.4.3.1 | Field cultivation | Major | Are field cultivation techniques used to reduce the possibility of soil erosion? | | | |
| CB.5 | PLANT NUTRITION MANAGEMENT / FERTILIZER USE | | | | | |
| CB.5.1 | Nutrient Requirement | | | | | |
| CB.5.1.1 | Proper application of plant nutrients | Major | Is the application of all plant nutrition products timed to maximize the efficacy and/or uptake by target crops? | | | |
| CB.5.2 | Advice on Quantity and Type of Fertilizer/Nutrients | | | | | |

| | | | | | | |
|----------|---|-------|--|--|--|--|
| CB.5.2.1 | Recommendations on use of fertilizers/nutrients | Major | Are recommendations for application of fertilizers/nutrients (organic or inorganic) given by competent, qualified advisers holding a recognized national certificate or similar? Do producers who use outside professional help (advisers and consultants) regarding the use of fertilizers/nutrients satisfy themselves that the people on whom they rely are competent to provide that advice? | | | |
| CB.5.2.2 | Competence of advice | Major | Are producers able to demonstrate their competence and knowledge, where such advisers are not used? | | | |
| CB.5.3 | Records of Application | | | | | |
| CB.5.3.1 | Record of nutrient applications | Major | Have all applications of soil and foliar fertilizers, both organic and inorganic, been recorded including field, orchard or greenhouse reference? | | | |
| CB.5.3.2 | Dates of nutrient application | Major | Have all application dates of soil and foliar fertilizers, both organic and inorganic, been recorded? | | | |
| CB.5.3.3 | Record of applied nutrient types | Major | Have all applications of soil and foliar fertilizers, both organic and inorganic, been recorded including applied fertilizer types? | | | |
| CB.5.3.4 | Record of applied quantities | Major | Have all applied quantities of soil and foliar fertilizers, both organic and inorganic, been recorded? | | | |
| CB.5.3.5 | Record of method of application | Major | Have all applications of soil and foliar fertilizers, both organic and inorganic, been recorded including the method of application? | | | |
| CB.5.3.6 | Record of operator details | Major | Have all applications of soil and foliar fertilizers, both organic and inorganic, been recorded including the operator details? | | | |
| CB.5.4 | Application Machinery | | | | | |
| CB.5.4.1 | Condition of application machinery | Major | Is fertilizer application machinery kept in good condition and verified annually to ensure accurate fertilizer application? | | | |
| CB.5.5 | STORAGE OF FERTILIZERS / NUTRIENTS | | | | | |
| CB.5.5.1 | Inventory of fertilizers | Major | Is there an inorganic fertilizer stock inventory or record of use up to date and available on the farm? | | | |
| CB.5.5.2 | Segregation of fertilizers from plant protection products | Major | Are inorganic fertilizers stored separately from plant protection products? | | | |
| CB.5.5.3 | Protection of storage area | Major | Are inorganic fertilizers stored in a covered area? | | | |
| CB.5.5.4 | Hygiene of storage area | Major | Are inorganic fertilizers stored in a clean area? | | | |
| CB.5.5.5 | Humidity in storage area | Major | Are inorganic fertilizers stored in a dry area? | | | |
| CB.5.5.6 | Reduction in risk of contamination of water | Major | Are inorganic fertilizers stored in an appropriate manner, which reduces the risk of contamination of water courses? | | | |
| CB.5.5.7 | Reduction in risk of contamination of environment | Major | Are organic fertilizers stored in an appropriate manner, which reduces the risk of contamination of the environment? | | | |

| | | | | | | |
|-----------|--|----------|--|--|--|--|
| CB.5.5.8 | Segregation from produce | Critical | Are inorganic and organic fertilizers stored separate from farm produce harvested -fresh or dry, as applicable? | | | |
| CB.5.6 | Organic Fertilizer | | | | | |
| CB.5.6.1 | Ban on human sewage sludge | Critical | Has the use of human sewage sludge been banned on the farm? | | | |
| CB.5.6.2 | Risk assessment of organic fertilizer | Major | Has a risk assessment been carried out for organic fertilizer, which considers its source and characteristics, before application? | | | |
| CB.5.6.3 | Nutrient in organic fertilizer | Minor. | Has account been taken of the nutrient contribution of organic fertilizer applications? | | | |
| CB.5.6.4 | Method of organic manure preparation | Minor. | Has aerobic and anaerobic methods of preparation been followed? | | | |
| CB.5.6.5 | Soil enrichment | Major | Are the soils enriched with adequate organic matter? | | | |
| CB.5.6.6 | Use of green manure | Minor. | Are the green manures incorporated into the soil to improve soil health? | | | |
| CB.5.6.7 | Use of bio-fertilizers | Major | Are any bio-fertilizers applied to the crop? Are they approved by technically competent source? | | | |
| CB.5.6.8 | Use of sheep/poultry manure | Minor. | Is sheep & poultry manure applied raw/ripe? | | | |
| CB.5.6.9 | Use of municipal /industrial sludge | Critical | Is Municipal / industrial sludge applied? | | | |
| CB.5.6.10 | Use of other organic manure | Major | Any other organic manure added to the soil in raw or decomposed form. | | | |
| CB.5.7 | Inorganic Fertilizer | | | | | |
| CB.5.7.1 | Composition of inorganic fertilizer | Major | Are purchased inorganic fertilizers accompanied by documentary evidence of nutrient content (N, P, K)? | | | |
| CB.5.7.2 | Documentary evidence of chemical content | Minor. | Are purchased inorganic fertilizers accompanied by documentary evidence of chemical content, which includes heavy metals? | | | |
| CB.5.7.3 | Dosage recommendations by SAU/NRC /other approved organizations. | Critical | Are the doses in tune with the soil test – crop response studies and SAU / NRC/other approved organizations? recommendations for the crop? Do the fertilizers contain desirable/approved proportion of Critical plant nutrients NPK? | | | |
| CB.5.7.4 | Micro nutrient content | Minor. | Are the micronutrients optimally provided? | | | |

| | | | | | | |
|----------|---|----------|--|--|--|--|
| CB.5.7.5 | Stages of nutrient applications | Major | Are the Critical/Major nutrients applied through recommended application practices at appropriate stages of crop growth? Are foliar sprays of nutrients done as per standard recommendations without leaving residues? | | | |
| CB.5.7.6 | Grower competence on applications | Major | Does the grower demonstrate her/his competence to determine the type and quantity of fertilizers/nutrients being used and its application? | | | |
| CB.5.7.7 | Record of applications | Major | Have all applications of soil & foliar fertilizers, both inorganic, organic & bio-fertilizers been recorded? | | | |
| CB.6 | IRRIGATION/FERTIGATION | | | | | |
| CB.6.1 | Predicting Irrigation Requirements | | | | | |
| CB.6.1.1 | Methods of calculation | Minor. | Have systematic methods of prediction been used to calculate the water requirement of the crop? | | | |
| CB.6.2 | Irrigation / Fertigation Method | | | | | |
| CB.6.2.1 | Method of irrigation / fertigation | Major | Can the producer justify the method of irrigation/fertigation used in light of water conservation? | | | |
| CB.6.2.2 | Water optimization | Minor. | Is there a water management plan to optimize water usage and reduce waste? | | | |
| CB.6.2.3 | Record of irrigation/fertigation | Minor. | Are records of irrigation/fertigation water usage maintained? | | | |
| CB.6.3 | Quality of Irrigation Water | | | | | |
| CB.6.3.1 | Ban on untreated sewage water | Critical | Has the use of untreated sewage water for irrigation/fertigation been banned? | | | |
| CB.6.3.2 | Annual risk assessment | Major | Has an annual risk assessment for irrigation/fertigation water pollution been completed? | | | |
| CB.6.3.3 | Frequency of analysis | Major | Is irrigation water analyzed at a frequency in line with the risk assessment (CB.6.3.2)? | | | |
| CB.6.3.4 | Suitability of laboratory | Minor. | Is the analysis carried out by a suitable laboratory? | | | |
| CB.6.3.5 | Action on adverse results | Minor. | Have any adverse results been acted upon? | | | |
| CB.6.4 | Supply of irrigation/fertigation water | | | | | |
| CB.6.4.1 | Sustainability of water source | Major | To protect the environment, is water abstracted from a sustainable source? | | | |
| CB.6.4.2 | Advice on abstraction | Major | Has advice on abstraction been sought from water authorities, where required by law? | | | |
| CB.6.4.3 | Water quality | Critical | Is the water potable or free from harmful contaminants? | | | |
| CB.6.4.4 | Dependability of water source | Major | Is the source dependable under normal conditions during rain free period? Is the source an approved one? | | | |
| CB.6.4.5 | Water harvesting | Minor. | Is water harvesting being practiced by the farmer? | | | |
| CB.6.4.6 | Water conservation | Minor. | Is water conservation being practiced by the farmer? | | | |
| CB.6.4.7 | Irrigation equipment | Major | Is the farmer maintaining irrigation equipment as per guidelines provided by the manufacturer? | | | |
| CB.6.4.8 | Prevention of undesirable water | Critical | Has the farmer taken adequate measures to prevent flow of water into the fields from undesirable sources like municipal landfill areas, hospital & industry waste dump areas, etc? | | | |

| CB.7 | | INTEGRATED PEST MANAGEMENT | | | | |
|-----------|---|----------------------------|---|--|--|--|
| CB.7.1 | Assistance for IPM | Major | Has assistance with implementation of IPM systems been obtained through training or advice? | | | |
| CB.7.2 | Evidence for prevention | Major | Can the producer show evidence of implementation of at least one activity that falls in the category of "Prevention"? | | | |
| CB.7.3 | Evidence for monitoring | Major | Can the producer show evidence of implementation of at least one activity that falls in the category of "Observation and Monitoring"? | | | |
| CB.7.4 | Evidence for intervention | Major | Can the producer show evidence of implementation of at least one activity that falls in the category of "Intervention"? | | | |
| CB.7.5 | Minimum input use | Major | Where plant protection products have been used, has protection been achieved with the appropriate minimum input? | | | |
| CB.7.6 | Anti resistance label recommendation | Major | Have anti-resistance label recommendations been followed to maintain the effectiveness of available plant protection products? | | | |
| CB.7.7 | IPM for endemic pests /diseases | Critical | Are the IPM practices suggested for endemic pests and diseases are followed? | | | |
| CB.7.8 | | | Soil Treatment | | | |
| CB.7.8.1 | Soil treatment recommendations | Major | Is soil treatment, suggested by SAU/NRC or approved by any other govt. agency for endemic pests and diseases followed? | | | |
| CB.7.9 | | | Seed Treatment | | | |
| CB.7.9.1 | Methods of sowing | Minor. | Are seeds treated using approved methods before sowing? | | | |
| CB.7.10 | | | Cultural Methods | | | |
| CB.7.10.1 | Use of cultural practices | Major | Are appropriate cultural practices followed for preventing the build up of pests and diseases followed? | | | |
| CB.7.10.2 | Total use of recommendations | Critical | Are the recommended IPM practices completely followed? | | | |
| | | | Mechanical | | | |
| CB.7.10.3 | Use of mechanical methods | Major | Are recommended mechanical methods for control of pests and diseases followed? | | | |
| | | | Biological | | | |
| CB.7.10.4 | Use of biological methods | Major | Are biological methods and bio control measures followed as recommended by the SAU/NRC or any other govt. agency? | | | |
| CB.8 | | | PLANT PROTECTION PRODUCTS | | | |
| CB.8.1 | Choice of Plant Protection Products | | | | | |
| CB.8.1.1 | Use of label recommendations | Critical | Is the plant protection product applied appropriate for the target as recommended on the product label? | | | |
| CB.8.1.2 | Use of registered plant protection products | Critical | Do producers only use plant protection products that are registered in the country of use for the target crop where such official registration scheme exists? | | | |
| CB.8.1.3 | Purchase record | Major | Are invoices of registered plant protection products kept? | | | |

| | | | | | | |
|-----------|--|----------|--|--|--|--|
| CB.8.1.4 | List of plant protection products | Major | Is a current list kept of plant protection products that are used and approved for use on crops being grown? | | | |
| CB.8.1.5 | Awareness of banned chemicals | Critical | Is the farmer aware of the banned chemicals and is there a process that prevents chemicals that are banned in the target country from being used on crops destined for sale in that country? | | | |
| CB.8.1.6 | Competence of advisors | Critical | If the choice of plant protection products is made by advisers, can they demonstrate competence? | | | |
| CB.8.1.7 | Competence of producer | Critical | If the choice of plant protection products is made by the producer, can competence and knowledge be demonstrated? | | | |
| CB.8.1.8 | List of pest / diseases in the area | Major | List out the common pests and diseases endemic to the area and those that occurred on the crop during the past three crop seasons. | | | |
| | | | Chemical | | | |
| | | | Targeting the Pest and Diseases | | | |
| CB.8.1.9 | Appropriateness of chemical | Major | Is the crop protection chemical applied, appropriate for the target pest/disease? Is the current list of approved chemicals for the crop is available with the grower? | | | |
| | | | Approved Chemicals | | | |
| CB.8.1.10 | Banned chemicals | Critical | Are chemicals banned in India or importing countries used for crops destined for internal use or for exports? | | | |
| CB.8.2 | Records of Application | | | | | |
| CB.8.2.1 | Record of applications | Critical | Have all the plant protection product applications been recorded including the crop name and/or variety? | | | |
| CB.8.2.2 | Record of application location | Critical | Have all the plant protection product applications been recorded including the application location? | | | |
| CB.8.2.3 | Record of application dates | Critical | Have all the plant protection product applications been recorded including application date? | | | |
| CB.8.2.4 | Record of chemical trade names | Critical | Have all the plant protection product applications been recorded including the product trade name? | | | |
| CB.8.2.5 | Identification of operator | Major | Has the operator been identified for plant protection product applications? | | | |
| CB.8.2.6 | Record of justification of application | Major | Have all the plant protection product applications been recorded including justification for application? | | | |
| CB.8.2.7 | Record of technical authorization | Major | Have all the plant protection product applications been recorded including the technical authorization for application? | | | |
| CB.8.2.8 | Record of quantity of application | Major | Have all the plant protection product applications been recorded including appropriate information to identify the product quantity applied? | | | |
| CB.8.2.9 | Record of application machinery | Major | Have all the plant protection product applications been recorded including the application machinery used? | | | |
| CB.8.2.10 | Record of pre harvest interval | Critical | Have all the plant protection product applications been recorded including the pre-harvest interval? | | | |
| CB.8.3 | Pre-Harvest Interval (Not Applicable for Flower and Ornamentals) | | | | | |
| CB.8.3.1 | Observation of pre harvest intervals | Critical | Have the registered pre-harvest intervals prescribed by CIB or approved PHIs by relevant govt. agencies been observed? | | | |
| CB.8.4 | Application Equipment | | | | | |

| | | | | | | |
|----------|---|----------|---|--|--|--|
| CB.8.4.1 | Condition of application machinery & calibration | Major | Is plant protection product application machinery kept in good condition and verified annually to ensure accurate application? | | | |
| CB.8.4.2 | Producer's participation in calibration of equipment | Minor. | Is the producer involved in an independent calibration-certification scheme, where available? | | | |
| CB.8.4.3 | Label instructions | Major | When mixing plant protection products, are the correct handling and filling procedures followed as stated on the label? | | | |
| CB.8.5 | Disposal of Surplus Application Mix | | | | | |
| CB.8.5.1 | Disposal method | Major | Is surplus application mix or tank washings disposed of according to national or local law, where it exists, or in its absence according to points CB.8.5.2 and CB.8.5.3, either of which in this case must be complied with in order to comply with this Major must? | | | |
| CB.8.5.2 | Record of surplus application mix | Minor. | Is surplus application mix or tank washings applied over an untreated part of the crop, as long as the recommended dose is not exceeded and records kept? | | | |
| CB.8.5.3 | Record of surplus application mix in fallow land | Minor. | Are surplus application mixes or tank washings applied onto designated fallow land, where legally allowed, and records kept? | | | |
| CB.8.6 | Plant Protection Product Residue Analysis (N/A for Flower and Ornamental production) | | | | | |
| CB.8.6.1 | Sampling procedure | Major | Are the correct sampling procedures followed? | | | |
| CB.8.6.2 | Record of residue testing | Critical | If the producer or producer's customer able to provide current evidence either of annual (or more frequent) residue testing or of participation in a third party plant protection product residue monitoring system, which is traceable to the production location and that covers the plant protection products applied to the crop/product? | | | |
| CB.8.6.3 | Knowledge of MRL of target market | Critical | Is the producer (or the producer's customer) able to demonstrate information regarding the market where the producer is intending to trade produce, and the Maximum Residue Level (MRL) of that market? | | | |
| CB.8.6.4 | Action taken to comply with MRL | Critical | Has action been taken to meet the MRLs of the market the producer is intending to trade his produce in? | | | |
| CB.8.6.5 | Action on non compliances of MRL | Critical | Is an action plan in place in the event of an MRL being exceeded, either of the country of production or of the countries where produce is intended to be traded in? | | | |
| CB.8.6.6 | Accreditation of laboratory | Major | Is the laboratory used for residue testing accredited by a competent national authority to ISO 17025 or equivalent standard? | | | |
| CB.8.7 | Plant Protection Product Storage | | | | | |
| CB.8.7.1 | Compliance with local regulations | Critical | Are plant protection products stored in accordance with local regulations? | | | |
| CB.8.7.2 | Storage conditions | Major | Are plant protection products stored in a location that is sound? | | | |
| CB.8.7.3 | Security at location | Critical | Are plant protection products stored in a location that is secure? | | | |

| | | | | | | |
|-----------|---|----------|---|--|--|--|
| CB.8.7.4 | Temperature conditions | Major | Are plant protection products stored in a location that is appropriate to the temperature conditions? | | | |
| CB.8.7.5 | Fire protection | Minor. | Are plant protection products stored in a location that is fire-resistant? | | | |
| CB.8.7.6 | Ventilation | Major | Are plant protection products stored in a location that is well ventilated (in the case of walk-in storage)? | | | |
| B.8.7.7 | Light arrangement | Major | Are plant protection products stored in a location that is well lit? | | | |
| CB.8.7.8 | Segregation from other materials | Major | Are plant protection products stored in a location that is located away from other materials? | | | |
| CB.8.7.9 | Condition of shelves | Minor. | Is all plant protection product storage shelving made of non-absorbent material? | | | |
| CB.8.7.10 | Prevention of spillage | Major | Is the plant protection product store able to retain spillage? | | | |
| CB.8.7.11 | Measuring equipment | Major | Are there facilities for measuring and mixing plant protection products? | | | |
| CB.8.7.12 | Facilities to prevent spillage | Major | Are there facilities to deal with spillage? | | | |
| CB.8.7.13 | Worker restriction | Major | Are keys and access to the plant protection product store limited to workers with formal training in the handling of plant protection products? | | | |
| CB.8.7.14 | Inventory records | Major | Is the product inventory documented and readily available? | | | |
| CB.8.7.15 | Packaging | Critical | Are all plant protection products stored in their original package? | | | |
| CB.8.7.16 | Segregation for crop rotation plant protection products | Major | Are those plant protection products that are approved for use on the crops grown in the crop rotation stored separately within the plant protection product store from those plant protection products used for other purposes? | | | |
| CB.8.7.17 | Positioning in shelves | Major | Are liquids not stored on shelves above powders? | | | |
| CB.8.8 | Plant Protection Product Handling | | | | | |
| CB.8.8.1 | Health check of workers | Minor. | Are all workers who have contact with plant protection products submitted voluntarily to annual health checks? | | | |
| CB.8.8.2 | Procedures for re-entry of persons | Critical | Are there procedures dealing with re-entry of persons on the farm after application of plant protection products? | | | |
| CB.8.8.3 | Monitoring of re-entry times | Major | Have the recommended re-entry times been monitored? | | | |
| CB.8.8.4 | Accident procedures | Major | Is the accident procedure evident within 10 meters of the plant protection product/ chemical storage facilities? | | | |
| CB.8.8.5 | Prevention accidental contamination | Major | Are there facilities to deal with accidental operator contamination? | | | |
| CB.8.9 | Empty Plant Protection Product Containers | | | | | |
| CB.8.9.1 | Reuse of containers | Major | Is re-use of empty plant protection product containers for purposes other than containing and transporting of the identical product avoided? | | | |

| | | | | | | |
|-----------|---|----------|---|--|--|--|
| CB.8.9.2 | Disposal of containers | Major | Does disposal of empty plant protection product containers occur in a manner that avoids exposure to humans? | | | |
| CB.8.9.3 | Environmental protection | Major | Does disposal of empty plant protection product containers occur in a manner that avoids contamination of the environment? | | | |
| CB.8.9.4 | Official disposal system | Major | Are official collection and disposal systems used when available? | | | |
| CB.8.9.5 | Labeling and handling | Major | If there is a collection system, are the empty containers adequately stored, labeled and handled according to the rules of a collection system? | | | |
| CB.8.9.6 | Cleaning of empty containers | Critical | Are empty containers rinsed either via the use of an integrated pressure rinsing device on the application equipment, or at least three times with water? | | | |
| CB.8.9.7 | Rinsing | Major | Is the rinsate from empty containers returned to the application equipment tank? | | | |
| CB.8.9.8 | Storage of empty containers | Major | Are empty containers kept secure until disposal is possible? | | | |
| CB.8.9.9 | Compliance with local regulations | Major | Are all local regulations regarding disposal or destruction of containers observed? | | | |
| CB.8.10 | Obsolete plant protection products | | | | | |
| CB.8.10.1 | Disposal of obsolete chemicals | Major | Are obsolete plant protection products securely maintained and identified and disposed of by authorized or approved channels? | | | |

CONTROL POINTS AND COMPLIANCE CRITERIA-FRUITS AND VEGETABLES

| Cl. No. | Item | Level | Control Point | Compliance | | Remarks |
|---------------|--|----------|---|------------|----|---------|
| | | | | Yes | No | |
| FV. 1 | CHOICE OF VARIETY OR ROOTSTOCK | | | | | |
| FV.1.1 | Planting material awareness | Major | Is the producer aware of the importance of effective crop husbandry in relation to the rootstock, scion and quality seed of the crop? | | | |
| FV.2 | SOIL AND SUBSTRATE MANAGEMENT | | | | | |
| FV.2.1 | Soil Fumigation (N/A if no soil fumigation) | | | | | |
| FV.2.1.1 | Justification | Major | Is there a written justification for the use of soil fumigants? | | | |
| FV.2.1.2 | Pre-planting interval | Major | Is any pre-planting interval complied with? | | | |
| FV.2.2 | Substrates (N/A if no substrates are used) | | | | | |
| FV.2.2.1 | Source of substrate | Major | For substrate of natural origin, can it be demonstrated that it does not come from designated conservation areas? | | | |
| FV.2.2.2 | Sterilization | Minor. | If chemicals are used to sterilize substrates for reuse, have the location, the date of sterilization, type of chemical, method of sterilization, name of the operator and pre-planting interval been recorded? | | | |
| FV.2.2.3 | Substrate recycling | Minor. | Does the producer participate in substrate recycling programmes for substrates where available? | | | |
| FV.3 | IRRIGATION/FERTIGATION | | | | | |
| FV.3.1 | Quality of Irrigation Water | | | | | |
| FV.3.1.1 | Risk analysis | Major | According to the risk analysis (CB.6.3.2), does the analysis consider the microbial contaminants? | | | |
| FV.3.1.2 | Risk management | Major | If the risk analysis so requires, have suitable corrective actions taken to avoid identified risks? | | | |
| FV.3.1.3 | Quality of fertigation material | Major | Is farmer aware of the quality of fertigation material? | | | |
| FV.4 | HARVESTING | | | | | |
| FV.4.1 | General | | | | | |
| FV.4.1.1 | Hygiene risk analysis | Critical | Has a hygiene risk analysis and risk assessment been performed for the harvested crop handling process that covers the hygiene aspects of the produce handling operation? | | | |
| FV.4.1.2 | Documentation of procedures | Critical | Are documented hygiene procedures for the harvesting process implemented? | | | |
| FV.4.1.3 | Instruction to workers | Critical | Have workers received basic instructions in hygiene before handling produce? | | | |
| FV.4.1.4 | Implementation of instructions | Critical | Are hygiene instructions and procedures for handling produce, to avoid contamination of the product, implemented? | | | |
| FV.4.1.5 | Cleaning of containers | Critical | Are the containers and tools used for harvesting cleaned, maintained and protected from contamination? | | | |
| FV.4.1.6 | Cleaning of vehicles | Critical | Are vehicles used for transport of harvested produce cleaned and maintained? | | | |

| | | | | | | |
|-----------|--|----------|--|--|--|--|
| FV.4.1.7 | Access to hand washing | Critical | Do harvest workers that come into direct contact with the crops have access to clean hand washing equipment? | | | |
| FV.4.1.8 | Access to clean toilets | Major | Do harvest workers have access to clean toilets in the vicinity of their work? | | | |
| FV.4.1.9 | Produce containers | Critical | Are produce containers used exclusively for produce? | | | |
| FV.4.1.10 | Compliance with maturity standards | Minor. | Are prescribed maturity standards for the crops followed before harvesting? | | | |
| FV.4.1.11 | Compliance with quality parameters | Major | Are the prescribed quality parameters accomplished at the time of harvest? | | | |
| FV.4.2 | Final Produce Packing at point of harvest (Applicable during harvest, final packing and last human contact with produce takes place on-field) | | | | | |
| FV.4.2.1 | Hygiene at harvesting / handling points | Critical | Is the hygiene procedure considered while handling of harvested produce and produce packed and handled directly in the field, orchard or greenhouse? | | | |
| FV.4.2.2 | Documentation of inspection | Major | Is a documented inspection process in place to ensure compliance with defined quality criteria? | | | |
| FV.4.2.3 | Protection from contamination | Critical | Are packed produce protected from contamination? | | | |
| FV.4.2.4 | Hygiene at handling points | Critical | Is collection/ storage /distribution point of field packed produce maintained in clean and hygienic conditions? | | | |
| FV.4.2.5 | Storage of packing material | Critical | Is packing material used for in-field packing, stored to protect against contamination? | | | |
| FV.4.2.6 | Waste disposal | Major | Are bits of packaging material and other non-produce waste removed from the field? | | | |
| FV.4.2.7 | Climatic conditions at storage | Major | If packed produce are stored on farm, are temperature and humidity documented? | | | |
| FV.4.2.8 | Source of ice and water | Major | If ice or water is used in produce handling at point of harvest, is it made with potable water and handled under sanitary conditions to prevent produce contamination? | | | |
| FV.5 | PRODUCE HANDLING (N/A if Produce Handling in a packing facility on farm is excluded from certification) | | | | | |
| FV.5.1 | Principles of Hygiene | | | | | |
| FV.5.1.1 | Documentation | Major | Are documented hygiene procedures implemented for the process of harvested crop handling? | | | |
| FV.5.2 | Personal Hygiene | | | | | |
| FV5.2.1 | Basic instruction on hygiene | Critical | Have workers received basic instructions in hygiene before handling produce? | | | |
| FV 5.2.2 | Implementation of instructions | Critical | Do the workers implement the hygiene instructions for handling produce? | | | |
| FV.5.2.3 | Condition of outer garments | Minor. | Are all workers wearing outer garments that are clean and fit for purpose for the operation and able to protect products from contamination? | | | |
| FV.5.2.4 | Smoking/ eating instructions | Major | Are smoking, eating, chewing and drinking confined to designated areas segregated from products? | | | |

| | | | | | | |
|-----------|--------------------------------------|----------|--|--|--|--|
| FV.5.2.5 | Signages | Major | Are signs clearly displayed in the packing facilities with the main hygiene instructions for workers and visitors? | | | |
| FV.5.3 | Sanitary Facilities | | | | | |
| FV.5.3.1 | Access to clean toilets | Critical | Do workers in the packing facility have access to clean toilets and hand washing facilities in the vicinity of their work? | | | |
| FV.5.3.2 | Hand washing instructions | Critical | Are signs clearly displayed instructing workers to wash their hands before returning to work? | | | |
| FV.5.3.3 | Changing facilities | Major | Are there suitable changing facilities for the workers? | | | |
| FV.5.3.4 | Secure place to store personal items | Major | Are there secure storage facilities for the workers? | | | |
| FV.5.4 | Packing and Storage areas | | | | | |
| FV.5.4.1 | Maintenance | Major | Are produce handling, storage facilities and equipment cleaned and maintained so as to prevent contamination? | | | |
| FV.5.4.2 | Storage of cleaning agents | Major | Are cleaning agents, lubricants, etc. stored to prevent chemical contamination of produce? | | | |
| FV.5.4.3 | Approval of cleaning agents | Major | Are cleaning agents, lubricants etc. that may come into contact with produce, approved for application in the food industry? Are dose rates followed correctly? | | | |
| FV.5.4.4 | Maintenance of equipment | Minor. | Are all forklifts and other driven transport trolleys clean and well maintained and of suitable type to avoid contamination through emissions? | | | |
| FV.5.4.5 | Disinfection | Major | Is rejected produce and waste material in the packing environment stored in designated areas, which are routinely cleaned and/or disinfected? | | | |
| FV.5.4.6 | Lamp protection | Critical | Are breakage safe lamps or lamps with a protective cap used above the sorting, weighing and storage area? | | | |
| FV.5.4.7 | Handling procedures | Major | Are there written glass, clear hard plastic and articles with sharp edges handling procedures in place? | | | |
| FV.5.4.8 | Hygiene of packing material | Major | Are packing materials clean and stored in clean and hygienic conditions? | | | |
| FV.5.4.9 | Restriction on animals | Major | Is access of animals to the facilities restricted? | | | |
| FV.5.4.10 | Strength of packaging material | Major | Are packaging materials used in accordance with the recommended specifications, if any, or as per the approved hygiene standards and have adequate holding strength? | | | |
| FV.5.4.11 | Labeling and track back | Critical | Are the packages properly labeled and coded for unique identification and trace-back? | | | |
| FV.5.4.12 | Palletization / stacking | Major | Are the packages suitably palletized/stacked and loaded in the trucks/containers, as applicable? Are the workers trained for proper stacking? | | | |
| FV.5.4.13 | Temperature stabilization | Major | Are the packages/pallets shifted to the cold store for stabilization of temperature before loading into containers? | | | |
| FV.5.4.14 | Suitability of pallets/ stacks | Major | Are the palletized packages marked suitably for proper handling & loading into the trucks & containers? | | | |
| FV.5.4.15 | Ventilation in vehicles | Major | Is the vehicle/truck suitably covered & ventilated for carrying the cargo by road to destination? | | | |

| | | Quality Control | | | | |
|----------|---|-----------------|---|--|--|--|
| FV.5.5.1 | Documentation of inspection | Major | Is a documented inspection process in place to ensure compliance with a defined quality standard? | | | |
| FV.5.5.2 | Documentation of temperature and humidity controls | Critical | Are temperature and humidity (where applicable) controls maintained and documented where produce are packed and/or stored? | | | |
| FV.5.5.3 | Light sensitive products | Critical | For products that are sensitive to light (e.g. potatoes), is daylight ingress controlled in longer term storage facilities? | | | |
| FV.5.5.4 | Stock rotation | Minor. | Is stock rotation being managed? | | | |
| FV.5.5.5 | Temperature control equipment | Major | Is there a process for verifying measuring and temperature control equipment? | | | |
| FV.5.6 | Rodent and Bird Control | | | | | |
| FV.5.6.1 | Blockade at entry points | Major | Are all entry points to buildings or equipment that may come into contact with them suitably protected to prevent, whenever practically possible, the ingress of rodents and birds? | | | |
| FV.5.6.2 | Bait points | Major | Are there site plans with bait points and/or traps? | | | |
| FV.5.6.3 | Protection of non-target species | Major | Are baits placed in such a manner that non-target species do not have access? | | | |
| FV.5.6.4 | Record keeping | Major | Are detailed records of pest control inspections and necessary actions taken, kept? | | | |
| FV.5.7 | Post-Harvest Washing (N/A when no post-harvest washing) | | | | | |
| FV.5.7.1 | Water source | Critical | Is the source of water used for final product washing potable or declared suitable by the competent authorities? | | | |
| FV.5.7.2 | Re-circulation conditions | Critical | If water is re-circulated for final product washing, has this water been filtered and are pH, concentration and exposure levels to disinfectant routinely monitored? | | | |
| FV.5.7.3 | Laboratory | Minor. | Is the laboratory carrying out the water analysis a suitable one? | | | |
| FV.5.8 | Post-Harvest Treatments (N/A when there is no post-harvest treatments) | | | | | |
| FV.5.8.1 | Labeling instructions | Critical | Are all labeling instructions observed? | | | |
| FV.5.8.2 | Registration of biocides | Critical | Are all the biocides, waxes and plant protection products used for post harvest protection of the harvested crop officially registered in the country of use? | | | |
| FV.5.8.3 | Selection of biocides | Critical | Are any biocides, waxes and plant protection products used on harvested crop destined for sale in the importing countries are banned? | | | |
| FV.5.8.4 | Update of list of post harvest chemicals | Major | Is an up-to-date list maintained of post-harvest plant protection products that are used, and approved for use, on crops being grown? | | | |
| FV.5.8.5 | Competence of responsible person | Critical | Is the technically responsible person for the harvested crop handling process able to demonstrate competence and knowledge with regard to the application of biocides, waxes and plant protection products? | | | |

| | | | | | | |
|-----------|--|----------|---|--|--|--|
| FV.5.8.6 | Record of identity of chemicals | Critical | Have the post-harvest biocides, waxes and plant protection product applications, including the harvested crops' identity (i.e. lot or batch of produce), been recorded? | | | |
| FV.5.8.7 | Record of formulations made on site | Critical | Are the ingredients of post-harvest biocides, waxes and plant protection products used in on site formulation preparation approved by the competent authorities? | | | |
| FV.5.8.8 | Record of location of chemicals | Critical | Has the location of the post-harvest biocides, waxes and plant protection products applications been recorded? | | | |
| FV.5.8.9 | Record of application dates | Critical | Have the application dates of the post-harvest biocide, wax and plant protection product been recorded? | | | |
| FV.5.8.10 | Record of treatment | Critical | Has the type of treatment been recorded for the post-harvest biocide, wax and plant protection product applications? | | | |
| FV.5.8.11 | Record of chemical trade names | Critical | Has the product trade name of the post-harvest biocide, wax and plant protection product applications been recorded? | | | |
| FV.5.8.12 | Record of quantity of chemical applied | Critical | Has the product quantity applied of the post-harvest biocide, waxes and plant protection product applications been recorded? | | | |
| FV.5.8.13 | Record of operators | Major | Has the name of the operator of the post-harvest biocide, wax and plant protection product applications been recorded? | | | |
| FV.5.8.14 | Record of justification | Major | Has the justification for application for the post-harvest biocide, wax and plant protection product applications been recorded? | | | |
| FV.5.8.15 | Completeness of record | Critical | Are all of the post-harvest plant protection product applications also considered under points CB.8.6 of this document? | | | |
| FV.5.8.16 | Application of curing & ripening aids | Critical | Are the curing & ripening agents used approved/recommended by relevant govt. agencies? | | | |