1. OBJECTIVE

To ensure an objective assessment and certification of the agricultural produce at the farm and promote uniformity in the operation of the certification scheme and the interaction between the Certification Bodies (CBs) and the farmer seeking certification.

2. SCOPE

This document covers the certification process of agricultural produce based on Good Agricultural Practices (GAP), Basic Requirements.

3. CERTIFICATION FOR GAP CERTIFICATION

3.1 The individual farmer applies for certification and gets certification under option 2.1.3.

3.2 The Scheme is open to all individuals farmers engaged in farming as a legal entity in India.

3.3 The information on how to obtain certification for 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 by NABCB. To operate under the Scheme, the CBs will require an extension of scope within the accreditation for ISO/IEC Guide 65

4. CERTIFICATION PROCESS FOR INDIVIDUAL FARMER

4.1 Application for certification of individual farmer

4.1.1 Any farmer who is a legal entity can apply for certification to an approved Certification Body.

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

4.1.3 All relevant information concerning farmer applying for certification shall be recorded for the producer to become registered. This information will be used to supply the registered farmer 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 and the CB. The following information is required for each farmer wishing to be registered:

   i) Name of farmer/farm to be certified,
   ii) Annual Area under cultivation,
   iii) Crop produce to be covered,
   iv) First harvest or further harvest 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 farmer 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 farmer shall apply to the Certification Body on the Application form prescribed by the CB, and provide information as minimum on:

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

4.1.8 The prospective applicant shall along with the application declare any judicial proceedings relating to the operations / produce, 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 by necessary documents 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 farm/farmer 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 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 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 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 Certification process for individual farmer

4.2.1 Control Points and Compliance Criteria (CPCC)

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

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 farm produce 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.

4.2.3.4 Timings and date of Initial Evaluation shall be decided in consultation with the applicant ensuring that processes such as harvesting representative of normal operations are be open for witnessing during the planned Evaluations as follows:

a) Inspection timings

i) The inspection of a 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. Justification for alternative timing may be logistics and time constraints of producer and inspector, variation in harvest dates, perennial crop not yet producing mature produce, etc. 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.

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 farm 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 produce 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.

4.2.4 Evaluation process
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. The nonconformities shall be classified as critical, major or minor depending on their severity as defined in the standard.

4.2.5 Compliance levels for certification

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

4.2.5.2 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.

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

a) Critical- 95% compliance of all applicable critical control points
b) Major  - 85% compliance of all applicable major control points is compulsory
c) Minor  -70% of compliance of all applicable minor control points is compulsory.

4.2.5.4 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.

4.2.6 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/farmer.

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 Grant of Certification

4.3.1 The Certification Body shall grant certification after ensuring:

a) complete compliance to the Certification Criteria based on evaluation reports (See 4.2.4),
b) certification scheme requirements,
c) satisfactory resolution of nonconformities raised.

There shall be no conditional grant of certification.
4.3.2 On grant of certification, the Certification body shall inform the farmer/producer and issue a Certificate, uniquely identified, to the farmer/producer 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 /producer site where certified as a minimum.

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

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

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

**4.3.6 Scope of certification**

4.3.6.1 The produce scope is linked to the location where that crop is produced. Certificate is issued to the registered producer/farmer, on the farms where the crops are produced and for the produce declared. The legal entity of the places certified must be declared by the certificate holder.

4.3.6.2 The entire production/ cultivation process of the declared and registered produce must comply with requirements. Certified locations/farms 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 farms/producers 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 for as possible.

4.4.3 In case where the farmer/producer 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 crops/ produce during the certification period.
4.4.4 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 farm produce and the names of consignees to whom certified produce have been supplied.

4.4.5 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.

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

4.4.7 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 farm/producer. 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/farmer who voluntarily asks for it, for some (partial) or all (complete) of his/her 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/farmer himself/herself, which must be agreed upon with the CB, but not exceed 6 months.

4.5.4 During the period of suspension, the producer/farmer 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/farmer 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/farmer 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.

4.7 Recertification

4.7.1 The certificate shall be revalidated at the end of every year 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.

4.7.7 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.

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

4.7.9 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 unit shall not claim certification or use the Certification during this period.

4.7.10 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/she 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 farmer/producer 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 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.

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.
## ANNEX A
### CHECKLISTS FOR SELF-ASSESSMENT

<table>
<thead>
<tr>
<th>Parameters</th>
<th>Control criteria</th>
<th>Level of compliance</th>
<th>Compliance</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 SITE SELECTION</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Is site free from toxic elements such as industrial wastes and effluents?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>1.2</td>
<td>Is the site having access to reliable source of irrigation water (where applicable/relevant)?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>1.3</td>
<td>Has a management plan been developed setting out strategies to minimize all identified risks? Are the results of this analysis recorded and used to justify that the site in question is suitable?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>1.4</td>
<td>Has the meteorological data collated for preceding three years taken into account while judging the suitability of the site.</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>2 SOIL CONDITIONS/MANAGEMENT</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1</td>
<td>Has the soil map prepared for the farm</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>2.2</td>
<td>Is the soil optimal to the selected crop with reference to its water holding capacity and fertility?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>2.3</td>
<td>If soils with low fertility levels use soil amendments as per the specific site and requirement of species, are the latest soil test report on physico-chemical parameters and nutrient profile to decide the nature and quantity of soil amendments available?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>2.4</td>
<td>Has the quality of irrigation water been adequately understood and classified in the context of both soil type and the target crop in terms of total salt concentration, Sodium absorption ratio, Bicarbonate and Boron concentration etc.</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>2.5</td>
<td>Irrigation water is required to conform to standards of heavy metals and residual pesticides.?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>2.6</td>
<td>When shade-loving crop is planned for, availability of shade across the field should be ascertained.</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>3 SEEDS AND PROPAGATION MATERIAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>Do seed/planting material accompany the following information:- a) Name, nomenclature and trade name) b) Botanical name c) Variety?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>3.2</td>
<td>Does the producer keep records on sowing/planting methods, seed/planting rate, sowing/planting date?</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>3.3</td>
<td>Seed</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>3.3.1</td>
<td>The seeds chosen for cultivation purposes must meet the botanical and varietal purity.</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>3.3.2</td>
<td>Are the seeds chosen for cultivation purposes physically free from pests, diseases, weeds, and</td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Section</td>
<td>Question</td>
<td>Weight</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------</td>
<td>--------------------------------------------------------------------------</td>
<td>--------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.3</td>
<td>Does the producer keep records on sowing/planting methods, seed/planting rate, sowing/planting date?</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.4</td>
<td>Are prescribed seed treatment protocols for the target species, completed well in advance to match the planting season.</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3.5</td>
<td>When the process for seedling production under nursery conditions, is it initiated as per the recommended agronomic practices for the target species and carried out reasonably well before the actual schedule of field transplantation and only healthy seedlings transplanted.</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4</td>
<td><strong>Stem Cutting</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4.1</td>
<td>Are sources of cuttings authenticated when root induction in stem cuttings under nursery conditions for transplantation into the field for both botanical identity and quality of vegetative propagules?</td>
<td>Critical</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4.2</td>
<td>Are only healthy stem cutting giving desired rooting used?</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td><strong>CROP MANAGEMENT FOR CULTIVATION</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1</td>
<td><strong>Field Preparation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1.1</td>
<td>Is soil brought to the desired tilth to facilitate favourable environment for growing seed and seedling?</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1.2</td>
<td>Do field operation performed provide better environment, soil structure and texture, and keep it free from weeds for initial 20-30 days?</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2</td>
<td><strong>Sowing and Transplanting</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.1</td>
<td>Are recommended rate of seedlings per unit of land area adhered to?</td>
<td>Minor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.2</td>
<td>Is placement of seeds taking place at the appropriate depth in the moist zone of the soil?</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.3</td>
<td>Are seedlings where used transplanted following the spacing norms in terms of row-to-row and plant-to-plant distance governed by the needs of target crop as envisaged in the agronomic protocol for target species?</td>
<td>Minor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.4</td>
<td>Are the seedling at optimum stage of transplanting uprooted and transplanted immediately thereafter?</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.5</td>
<td>Replenishment of plant populations to compensate mortality losses should be carried out within a reasonable timeframe and in consideration of the gestation period of the target crop.</td>
<td>Minor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2.6</td>
<td>Is there a document that guarantees seed quality (free from injurious pests, diseases, virus, etc.)?</td>
<td>Minor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3</td>
<td><strong>Manures and Fertilizers</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3.1</td>
<td>Source of information/material about manures and fertilizers used Parameters used to accept or qualify the manure in case source is from outside.</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3.2</td>
<td>Is use of organic manure preferred for growing plants supplemented by mineral nutrition through inorganic source in consideration of the nutritional needs of the target crop vis-à-vis the soil characteristics?</td>
<td>Minor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3.3</td>
<td>Is use of compost, vermi-compost, green leafy manure and biofertilizers considered desirable?</td>
<td>Minor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3.4</td>
<td>Are specialized nutritional care for distinct purposes such as root production or enhancement of leafy biomass etc opted for in the light of recommended agronomic practices for target species?</td>
<td>Major</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**4.4 Irrigation**

| 4.4.1 | How is the total water requirement of the crop estimated in the light of available agronomic protocol? How the irrigation cycles is planned for and implemented to ensure optimal plant growth. | Major |
| 4.4.2 | Is there a water management plan to optimise water usage and reduce waste in terms of method of irrigation? | Major |
| 4.4.3 | How water harvesting and water conservation methods are followed, wherever possible | Minor |
| 4.4.4 | Is the quality of water considered in the light of prevailing soil conditions and soil and water analysis taken into account for this purpose. | Major |
| 4.4.5 | How soils having the problem of drainage are dealt with in specific manner so as to provide outlet for excess water? | Major |

**4.5 Weeding and intercultural operations**

| 4.5.1 | How initial flush of weeds are controlled effectively to ensure a weed free environment to young plants? | Major |
| 4.5.2 | Is the prescribed schedule of all inter-cultural operations such as weeding, hoeing, topping, nipping of buds, pruning, shading and earthing up etc. adhered to in a manner to optimize overall productivity. | Major |
| 4.5.3 | Are use of herbicides avoided as far as possible? In case of their inevitable usage, are available evidence of safety to the target crop considered adequately? | Major |

**4.6 Crop protection**

<p>| 4.6.1 | Is there a comprehensive preventive and control measures enumerated in the agronomic protocol used for pest management to minimize loss of the final crop and its quality. | Major |
| 4.6.2 | Is crop protection plans limited to the use of bio-control agents and bio-pesticides? | Major |
| 4.6.3 | Integrated Pest Management protocols shall be in place in absence of the protocols at 4.6.1 and 4.6.2. | Critical |
| 4.6.4 | How under compulsive circumstances care is taken to use smallest effective dosage of pesticides on the basis of crop protection protocols prescribed for the target species | Major |</p>
<table>
<thead>
<tr>
<th>4.6.5</th>
<th>When chemical pesticides are used for crop protection, is residue analysis of final product carried out through appropriate testing agencies following standard procedures?</th>
<th>Critical</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>5</strong></td>
<td><strong>HARVEST AND POST HARVEST MANAGEMENT</strong></td>
<td></td>
</tr>
<tr>
<td>5.1</td>
<td>Harvesting</td>
<td></td>
</tr>
<tr>
<td>5.1.1</td>
<td>How the harvesting season is determined and followed on the basis of qualitative parameters set for the end product of the constituents rather than the total vegetative yield?</td>
<td>Major</td>
</tr>
<tr>
<td>5.1.2</td>
<td>How are cutting devices employed for harvesting selected to minimize the contamination by soil particles? How while harvesting, care is taken to avoid incidental and concurrent harvest of weeds?</td>
<td>Major</td>
</tr>
<tr>
<td>5.1.3</td>
<td><strong>How are the containers used for harvested materials kept clean? How care is taken to ensure freedom from the risks of cross contamination by other species, weeds and such other extraneous matter?</strong></td>
<td>Major</td>
</tr>
<tr>
<td>5.2</td>
<td>Primary processing</td>
<td></td>
</tr>
<tr>
<td>5.2.1</td>
<td>Are the washing and cleaning methods for freshly harvested materials laid down in consideration of the target plant material?</td>
<td>Major</td>
</tr>
<tr>
<td>5.2.2</td>
<td>Is the freshly harvested produce not be stored as such and the drying process initiated in a continuum? How is the length of storage minimized and handled in a manner to prevent degradation or rotting?</td>
<td>Major</td>
</tr>
<tr>
<td>5.2.3</td>
<td>How processing area or sites are kept clean, well ventilated, and have the facilities for protection against sunlight, dust, rain, rodents, insects and livestock?.</td>
<td>Major</td>
</tr>
<tr>
<td>5.2.4</td>
<td>Are the drying procedure and the temperature employed for this purpose in conformity with the quality needs of the farm produce?</td>
<td>Critical</td>
</tr>
<tr>
<td>5.2.5</td>
<td>Whether sorting procedure is carried out after completion of drying phase and before the material is packed?</td>
<td>Major</td>
</tr>
<tr>
<td><strong>5.3</strong></td>
<td><strong>Packaging, storage and transportation</strong></td>
<td></td>
</tr>
<tr>
<td>5.3.1</td>
<td>Is the selection of packaging material based on the quality requirements and possible length of storage before consumption/processing and kept clean, dry and undamaged?</td>
<td>Major</td>
</tr>
<tr>
<td>5.3.2</td>
<td>While packaging, are mechanical damages and undue compacting of the dried plant material that may result in undesirable quality changes avoided? Is care taken to avoid overfilling of the containers?</td>
<td>Major</td>
</tr>
<tr>
<td>5.3.3</td>
<td>Is the storage area kept dry and protected from insects and rodents and such other factors that may be detrimental to the quality of the product?.</td>
<td>Major</td>
</tr>
<tr>
<td>5.3.4</td>
<td>Are different varieties stored separately to avoid</td>
<td>Major</td>
</tr>
</tbody>
</table>
### 5.3.5 When multiple commodities/varieties are handled in the same storage area, is care exercised to prevent product mix up and cross contamination.

**Minor**

### 6 IDENTIFICATION AND TRACEABILITY

#### 6.1 Identification

**Major**

#### 6.1.1 Are produce legibly labeled inscribing on every pack with the product name, month and year of harvest and the name of farmer/farming agency? If the material was tested before, an appropriate label may be used indicating quality approval.

### 6.2 Traceability

**Critical**

#### 6.2.1 Is registered product traceable back to and trackable from the registered farm (and other relevant registered areas) where it has been grown?

### 7 PERSONNEL AND EQUIPMENT

#### 7.1 Key resource persons engaged at the site (such as farm owner/supervisor) must be conversant with all aspects related to the target crop such as, quality requirements of the end product, crop husbandry etc.

**Major**

#### 7.2 The personnel should have basic exposure to subject matters like safety and hygiene.

**Major**

#### 7.3 The machinery used in fertilizer and pesticide application must be calibrated at prescribed schedules and calibration certificates / records should be maintained.

**Major**

#### 7.4 Equipments must be clean and mounted where applicable, in an easily accessible manner. Scheduled servicing procedures must be adhered to keep them in working order.

**Major**

#### 7.5 Additional care should be taken for cleaning those machine parts that get into direct contact with the harvested produce.

**Major**

#### 7.6 The material used for the equipment, particularly that coming into direct contact, should be safe. Equipments that pose a risk of hazardous metallic contamination of the harvested crop should be avoided.

**Critical**

### 8 WORKERS HEALTH, SAFETY AND WELFARE

#### 8.1 Risk Assessments

**Major**

#### 8.1.1 Does the farm have a written risk assessment for safe and healthy working conditions?

**Major**

#### 8.1.2 Does the farm have a written health, safety and hygiene policy and procedures?

**Major**

#### 8.2 Training

**Major**

#### 8.2.1 Do all workers handling and/or administering plant chemicals, disinfectants, plant protection products, biocides or other hazardous substances and all workers operating dangerous or complex equipment have
| 8.2.2 | Have all workers received adequate health and safety training and are they instructed according to the risk assessment? | Major |
| 8.2.3 | 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? | Major |

**8.3 Hazards and First Aid**

| 8.3.1 | Do accident and emergency procedures exist; are they visually displayed and communicated to all persons associated with the farm activities? | Major |
| 8.3.2 | Are potential hazards clearly identified by warning signs and placed where appropriate? | Minor |

**8.4 Protective Clothing/Equipment**

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? | Major |

**9 RECORD KEEPING AND INTERNAL SELF-ASSESSMENT/ INTERNAL INSPECTION**

| 9.1 | Are all records requested during the external inspection accessible and kept for a minimum period of time of two years, unless a longer requirement is stated in specific control points? | Major |
| 9.2 | Does the producer take responsibility to undertake a minimum of one internal self-assessment per year against the requirements of this standard? | Major |
| 9.3 | Are effective corrective actions taken as a result of non-conformances detected during the internal self-assessment? | Major |

**10 WASTE AND POLLUTION MANAGEMENT, RECYCLING AND RE-USE**

<p>| 10.1 | Have all possible waste products and sources of pollution been identified in all areas? | Major |
| 10.2 | Is there a farm waste management plan to avoid or reduce wastage and pollution by waste recycling? Are organic wastes composted on the farm and utilised as manure? | Minor |
| 10.3 | 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? | Major |
| 10.4 | Do the premises have adequate provisions for waste disposal? | Minor |</p>
<table>
<thead>
<tr>
<th></th>
<th>ENVIRONMENT AND CONSERVATION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Does each farmer have a management of wildlife and conservation plan that acknowledges the impact of farming activities on the environment?</td>
<td>Minor</td>
</tr>
<tr>
<td>11.2</td>
<td>Has the farmer considered how to enhance the environment for the benefit of the local community and flora and fauna?</td>
<td>Minor</td>
</tr>
<tr>
<td>11.3</td>
<td>Does the plan include action to avoid damage and deterioration of habitats on the farm?</td>
<td>Minor</td>
</tr>
<tr>
<td>11.4</td>
<td>Does the plan include activities to enhance habitats and increase biodiversity on the farm?</td>
<td>Minor</td>
</tr>
<tr>
<td>12.</td>
<td>COMPLAINTS</td>
<td></td>
</tr>
<tr>
<td>12.1</td>
<td>Is there a complaint procedure available relating to issues covered by the standard?</td>
<td>Major</td>
</tr>
<tr>
<td>12.2</td>
<td>Does the complaints procedure ensure that complaints are adequately recorded, studied and followed up including a record of actions taken?</td>
<td>Major</td>
</tr>
</tbody>
</table>