

# **Minimum Basic Requirements for Applicant Organizations for Accreditation under National Programme for Organic Production**

## **Application**

1. Application (As per prescribed format on APEDA Website)
2. Registration certificate copy indicating its legal status
3. Memorandum of Company/ Association/ Trust etc
4. Organizational structure
5. List of manpower along with their competence status, experience, qualifications, experience in auditing and trainings etc
6. Copy of audited balance sheets
7. Prescribed accreditation fee
8. Copy of Operating and Quality manual as per ISO 17065
9. Copy of standard operating procedures, formats and checklists as per the requirement of scope being applied for accreditation
10. Copy of authority letter from organization for the person as signing authority
11. Any other relevant information

# Essential Components of Operating and Quality Manual as per the requirement of ISO 17065 and NPOP

## OPERATING MANUAL

Any Applicant Certification Body seeking accreditation under National Programme for Organic Production must conform to the requirements of ISO17065 and must have policy and procedures in place in the form of Operating Manual comprising of policy and procedures for minimum of following:

### 1. Operation Policies and Management Procedures

- 1. Scope
- 1.1 General Requirements
- 1.2 References
- 1.3 Definitions

### 2. Operating System Components

- 2. Operation's basic
- 2.1 Authority for the Organization
- 2.2. Policy Objectives of the Quality System
- 2.3. Applicant CBs' Legal Status, vision, Mission, Objectives and jurisdiction

### Organizational structure of the Applicant Certification Body

(Give full organizational structure)

### Operating policy

- 2.4. Access to the Services
- 2.4.1 Clarity of Scope to services
- 2.4.1.1 Policy for Impartiality
- 2.4.2 Management of Impartiality
- 2.4.3 Mechanism for maintenance of Impartiality
- 2.4.4 Liability & Financing
- 2.4.5 Conflict of Interest
- 2.5. Changes to the ABC Certification Agency's Certification Program
- 2.5.1. Changes by External Bodies such as NAB, NPOP or other accreditation agencies
- 2.5.2. Informing the NAB and APEDA
- 2.5.3. Informing Operators
- 2.5.4. Verification of Changes to Operations
- 2.6 Basic structure of certification agreement
- 2.7 Policy for public information
- 2.8 Quality policy and objectives
- 2.9 Policy and procedure for Independence
- 2.10 Policy and procedure for Accountability and responsibility

- 2.11 Policy and Procedure for credibility
- 2.12 Policy and procedure for participation
- 2.13 Provision for non-discrimination in policy, procedure and structure
- 2.14 Policy for criteria for evaluation
- 2.15 Policy for exchange of information

### **3. The Applicant Certification Body as an Organisation**

(Organizational structure to cover responsibility, clear lines of authority, sufficient personals and clear division of function)

- 3.1 Positions and job responsibilities
  - 3.1.1 Board of Management
    - 3.1.1.1 Responsibilities of the Board of Management
- 3.2. Committees
- 3.3. Executives
  - 3.3.1. Certification Committee
  - 3.3.2 Certification Committee and duties
  - 3.3.3. Conflict of Interest
  - 3.3.4. Confidentiality
  - 3.3.5. Qualifications of personnel involved in inspection and certification process
  - 3.3.6. Payment for Service
- 3.4. Dispute Resolution/ Appeal Committee
  - 3.4.1. Purpose of the Dispute Resolution/ Appeal Committee
  - 3.4.2. Decision of the Dispute Resolution Committee
  - 3.4.3. Confidentiality
  - 3.4.4. Policy for Resolving Conflict of Interest
- 3.5. Technical Committee
  - 3.5.1. Purpose of the Technical Committee
- 3.6. Advisory Committee
- 3.7. Inspection and Review Officers (Reviewers and Inspectors)
  - 3.7.1. Inspection services
  - 3.7.2. Qualifications for inspectors and reviewers
  - 3.7.3. Policy on Conduct for inspectors and reviewers
  - 3.7.4. Contract and Remuneration for inspectors and reviewers
  - 3.7.5. Inspection Procedures
- 3.8 Personals record keeping/ Personal files

### **4. Complaints and Appeals**

- 4.1 Policy and procedure for complaint handling
- 4.2 Receipt of complaints
- 4.3 Resolution of complaints
- 4.4 Investigation process
- 4.5 Complaints regarding certified operations
- 4.6 Complaints regarding certification body

### **5. Finances and Liability**

- 5.1 Fees for Services

- 5.2. Budget and source of funding to indicate that adequate arrangements are in place to cover liabilities arising from its operations and activities

## **6. Personnel - Recruitment, Training and Monitoring**

- 6.1. Personnel Quality Statement
- 6.2. Recruitment
  - 6.2.1. Procedures for Recruitment
  - 6.2.2. Selection
- 6.3. Qualifications
  - 6.3.1. Qualifications Required
- 6.4. Personnel Files
- 6.5. Personnel Contracts
- 6.6. Training
  - 6.6.1. Implementation
- 6.7. Performance appraisal

## **7. Sub-Contracting Activities**

- 7.1. Policy for sub-contracting the services

## **8. Recognition of Certification Programs, Certificate Transference and shifting of Operators**

- 8.1. Reciprocity
- 8.2. Shifting of Operators
- 8.3. Transfer of operators on the direction of Accreditation Body
- 8.4. Transfer of Farmers from one group to another

## **9. Internal Audit**

- 9.1. Quality Objectives of the Internal Audit
- 9.2. Responsibility for Internal Audits
- 9.3. Internal Audit Scope
  - 9.3.1. Inspectors/ reviewer's Evaluation
  - 9.3.2. Internal Audit Records including internal audit checklist
  - 9.3.3. Internal Audit Team
- 9.4. Internal Audit Process
  - 9.4.1. Audit Plan
  - 9.4.2. Appointment of Auditor
  - 9.4.3. Audit Visit
- 9.5.4. Inspectors and reviewer's Evaluations
- 9.5.5. Interviews
- 9.5.6. Sampling and Reviewing Information
- 9.5.7. Observation of Certification Activities
- 9.5.8. Completing the Audit
- 9.5.9. Internal Audit Follow-up

## **10. Management Review**

- 10.1. Responsibility for Management Review
- 10.2. Objectives of the Management Review
- 10.3. Elements of the Management Review

10.4 Records of Management Review Meetings

**11. Record and Document control**

- 11.1. Responsibility for a Record and Document Control Program
- 11.2. Document Control
  - 11.2.1. Document Control Procedures
- 11.3. Records Control
  - 11.3.1. Security of Records
- 11.4. Records retention period and Control Procedures

**12. Surveillance**

- 12.1. Purpose of Surveillance
- 12.2. Surveillance Process
  - 12.2.1. Further Surveillance Procedures

**13. Confidentiality and Conflict of Interest**

- 13.1. Confidentiality Controls
  - 13.1.2. Confidentiality Procedures
  - 13.1.3. Disclosure of Confidential Information
  - 13.1.4. Accreditation evaluation committee members Access
  - 13.1.5. Access to ABC CA Files
- 13.2. What Information is Confidential?
- 13.3. Conflict of Interest Procedures
- 13.4. Conflict of Interest Provisions for Inspector and Reviewer

**14. Annual Reports**

**QUALITY AND CERTIFICATION PROCEDURES**

Any agency seeking accreditation for National Programme for Organic Production must have policy and procedures for implementation of requirements of NPOP and NSOP in the form of a Quality and Certification Procedure manual comprising of following at minimum:

**15. Certification Categories**

- 15.1 Crop production
- 15.2 Livestock including Apiculture
- 15.3 Food Processor and handler
- 15.4 Aquaculture
- 15.5 Animal food processor and handler

**16. Certification Steps**

- 16.1 Information to applicant for certification
- 16.2 Organic System Plan
- 16.3 Application Review

16.4 Signing of Contract

## **17. Policy and Procedures for Risk Assessment**

- 17.1 Introduction
- 17.2 Procedure for risk assessment
- 17.3. Procedures for Implementation
- 17.4 Criteria for risk assessment

## **18. Inspection**

- 18.1 Inspection procedure
- 18.2 Assignment and Scheduling of Inspector(s)
- 18.3. Inspection Plan Requirements
  - 18.3.1. Prior to Inspection
  - 18.3.2. During the Inspection
  - 18.3.3. Exit Interview
  - 18.3.4 Submission of inspection report by the inspector
  - 18.3.5. Frequency and time of Inspections
  - 18.3.6 Unannounced Inspections
  - 18.3.7 Additional Inspection
  - 18.3.8. Specific requirements of inspection under different operations
  - 18.3.9 Initial inspection
  - 18.3.10 Annual/ Renewal inspection
    - 18.3.10.1 Procedure for Inspection of crop production
    - 18.3.10.2 Procedure for Inspection for wild harvest collection
    - 18.3.10.3 Procedure for Inspection of Live stock
    - 18.3.10.4 Procedure for Inspection of Apiculture
    - 18.3.10.5 Procedure for inspection of Aquaculture
    - 18.3.10.6 Procedure for Inspection of grower groups
    - 18.3.10.7 Procedure for Inspection of processing units
    - 18.3.10.8 Procedure for inspection and verification for genetically modified organisms
    - 18.3.10.9 Procedure for parallel production (separate for crop production, livestock and aquaculture)
    - 18.3.10.10 Procedure for Inspection of sub-contracted parties
    - 18.3.10.11 Procedure for Sampling for analysis and residue testing
    - 18.3.10.12 Procedure for Chain of Custody
    - 18.3.10.13. Inspection report

## **19. Determination of Certification**

- 19.1 Certification Review
- 19.2 Grant of Certification
  - 19.2.1 Certificate

- 19.2.2 Issuance of Scope Certificate
- 19.3 Re-Certification (Continuation of Certification)
- 19.4 Re-Certification review and Decision
- 20. Disciplinary measures, sanctions and withdrawal of certification**
  - 20.1 Notice of Noncompliance/ infringements
  - 20.2 Resolution of Noncompliance/ infringements
  - 20.3 Notice for removal of entire non-compliant lot
  - 20.4 Notice of Denial of Certification
  - 20.5 Appeals.
  - 20.6 Notice of Suspension and/or Revocation of Certification
  - 20.7 Suspension or Revocation or withdrawal of Certification
- 21. Complaints**
  - 21.1 Receipt of complaints
  - 21.2 Resolution of complaints
  - 21.3 Investigation process
    - 21.3.1 Complaints regarding certified operations
    - 21.3.2 Complaints regarding ABC CA
- 22. Procedures for Re-evaluation of certification programme**
- 23. Procedure for relaxation in conversion period**
- 24. Policy and procedures on lot creation and conversion of samples**
- 25. Procedure for input approvals**
  - 25.1 Criteria for approval
  - 25.2 Approval process
  - 25.3 Evaluation process
  - 25.4 Evaluation and decision making
  - 25.5 Issuance of approval certificate
- 26. Policy and Procedures for grant of Logo**
  - 26.1 India Organic Logo
  - 26.2. Manner of Applying for Licence
  - 26.3 Grant of Licence
  - 26.4. Conditions for use of Licence and Logo-
    - 26.4.1. Termination, suspension/ cancellation of license
    - 26.4.2 Temporary stopping of the use of license
    - 26.4.3 Procedure for inspection on use of license and logo
  - 26.5 Surveillance and regular review –
  - 26.6 Obligation of licensee
  - 26.7 Operators responsibilities
  - 26.8 Surrender of License
  - 26.9 Misuse of Licensee and certification mark

## **27. Policy and procedure for evaluation of staff performance on certification**

- 27.1 Assessment of inspectors
- 27.1.1 Assessment of Inspection report
- 27.1.2 Assessment based on Applicant or Licensee feedback
- 27.1.3 Shadow inspection via Inspection Manager
- 27.1.4 Monthly Performance Indicators
- 27.1.4.1 Procedure for evaluation of Staff

## **28. Policy and procedures for issue of Transaction certificate (TC)**

- 28.1 Lot/ batch creation
- 28.2 Transaction certificate (TC)
- 28.3 Requesting for issue of TC
- 28.3.1.1 Application for issue of Transaction certificate

## **29. Procedures for evaluation of competence of sub-contractors**

- 29.1 Scope:
- 29.2 Responsibility
- 29.2.1.1 Elements for evaluation of Subcontracted Laboratory :
- 29.2.1.2 Evaluation of Subcontracted Inspectors:

## **30. Sanction Catalogue for NPOP**

- 30.1 Explanation for each category of sanction and sanction



## **STANDARD OPERATING PROCEDURES, FORMATS AND CHECKLISTS**

### **Crop Production**

- Operator application form
- List of documents for operators for submission along with the application
- List of documents need to be maintained by the operator
- Format of operator-CB contract agreement
- Organic System plan (individual operator)
- Organic System Plan (Grower group)
- Organic system plan for wild harvest
- Operators application review check list
- Risk assessment checklist
- Format for inspection report (Individual)
- Format for Inspection Report (Wild harvest)
- Format for inspection report (Grower group)
- Inspection checklist (Individual)
- Inspection checklist (Wild harvest)
- Format for evaluation of inspection report
- Format for Certification decision
- Application form input approval
- Inspection report format Input approval
- Inspection checklist Input approval
- Input evaluation report format
- Non-GMO declaration format
- Sampling format

### **Processing and Handling**

- Operator application form
- List of documents for operators for submission along with the application
- List of documents need to be maintained by the operator
- Format of operator-CB contract agreement
- Organic Management plan (Processing)
- Organic Management Plan (separate for Trading and handling)
- Risk assessment checklist
- Inspection report format (Processing)
- Inspection report format (separate Trading and handling)
- Inspection checklist
- Assessment report (Processing)
- Assessment report (separate for Trading and Handling)
- Sampling format

### **Livestock including apiculture**

- Operator application form (Livestock)
- List of documents for operators for submission along with the application
- List of documents need to be maintained by the operator
- Format of operator-CB contract agreement
- Guidelines and formats of various formats and documents to be maintained by the operator (such as of livestock inventory record, grazing record, feed and fodder consumption record, Feed additives, supplementary feed record, Feed purchase record, Animal health care record, product estimated and actual yield record, product harvest record, slaughter record)
- Organic System plan
- Operators application review checklist
- Risk assessment checklist
- Livestock inspection report format
- Livestock inspection checklist
- Secondary review and certification decision checklist
- Sampling format

### **Aquaculture**

- Operator application form (Aquaculture)
- List of documents for operators for submission along with the application
- List of documents need to be maintained by the operator
- Format of operator-CB contract agreement
- Guidelines and formats of various formats and documents to be maintained by the operator (such as of Source and breed of animals, ecosystem management, pond details, pond management, feed consumption record, Feed additives, supplementary feed record, Feed purchase record, Animal health care record, product estimated and actual yield record, product harvest record, slaughter record)
- Organic System plan
- Operators application review checklist
- Risk assessment checklist
- Aquaculture inspection report format
- Aquaculture inspection checklist
- Secondary review and certification decision checklist
- Sampling format

### **Animal food Processing and Handling**

- Operator application form
- List of documents for operators for submission along with the application

- List of documents need to be maintained by the operator
- Format of operator-CB contract agreement
- Organic Management plan (Processing)
- Organic Management Plan (separate for Trading and handling)
- Risk assessment checklist
- Inspection report format (Processing)
- Inspection report format (separate Trading and handling)
- Inspection checklist
- Assessment report (Processing)
- Assessment report (separate for Trading and Handling)
- Sampling format