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
3.5.2 Advisory Committee
3.6 Inspection and Review Officers (Reviewers and Inspectors)
3.6.1 Inspection services
3.6.2 Qualifications for inspectors and reviewers
3.6.3 Policy on Conduct for inspectors and reviewers
3.6.4 Contract and Remuneration for inspectors and reviewers
3.6.5 Inspection Procedures
3.6.6 Personal 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
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
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 Livestock
   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