It is proposed that the requirements in Parts 1.4, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, and 12 of this document will be mandatory under the Animal Products Act 1999.

We welcome submissions on this material.

Non-mandatory guidance material is contained in Part 1, except 1.4, and within borders (other than tables) throughout the Official Assurance Programme.

You may also comment on this material if you wish.
Table of Contents

Part 1  Preliminary provisions .................................................................1.1
Part 2  General requirements ...................................................................2.1
Part 3  Requirements for recognised agencies ...........................................3.1
Part 4  Requirements for recognised persons .............................................4.1
Part 5  Requirements for certification ........................................................5.1
Part 6  Requirements for semen centres ....................................................6.1
Part 7  Requirements for semen centre managers and semen centre veterinarians ..........7.1
Part 8  Requirements for embryo teams ....................................................8.1
Part 9  Requirements for embryo team veterinarians ...................................9.1
Part 10 Requirements for pre-export isolation facilities ................................10.1
Part 11 Requirements in the event of an exotic or endemic disease occurrence ..........11.1
Part 12 Requirements for live bees ..........................................................12.1
Part 13 Appendix I. Application forms .....................................................13.1
Explanatory note

Text contained within a border, other than tables, is non-mandatory and provided for guidance only. For example:

This text is for guidance and is not mandatory.

Important Disclaimer

While every effort has been taken to ensure that the guidance material in this document is accurate and complete, Ministry of Agriculture and Forestry (including its employees and agents) does not accept liability or responsibility to any person for any loss caused by reliance on this material.
Status of this Issue

This issue cancels and replaces Version 1 of 1 May 2004.

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Amendment Record

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Part 1  Preliminary provisions

1.1  Application

1.1.1  This Official Assurance Programme (OAP) for live animals and germplasm consolidates specifications, export requirements and directions that apply to official assurances issued under Part 5 of the Act. These assurances relate to export requirements specific to an identified overseas market(s) as related to the export of live animals and germplasm. Export requirements are specified under section 60 of the Act and notified or made available under section 60A. Section 65 of the Act specifies the designation of an authorised person for the purpose of issuing official assurances and for withdrawing and reissuing official assurances under section 64 of the Act.

1.1.2  This OAP also specifies the requirements that apply to recognised agencies and persons responsible for providing verification or other specialised functions under Part 8 of the Act.

1.1.3  This OAP applies only to official assurances issued for live animals (being any live mammals or birds or any other animal not being exported as food), and germplasm of animals.

The export of dogs and cats, and canine and feline semen to Australia does not require an official assurance. A ‘Manual for the Procedures of Certification for Cats and Dogs for Export to Australia’ is maintained and administered by AsureQuality Limited and is available on the Ministry of Agriculture and Forestry Biosecurity New Zealand (MAFBNZ) website. For the export certification requirements for animal products and live animals certified as food, see the New Zealand Food Safety Authority (NZFSA) website.

1.1.4  Welfare issues arising from the export of live animals from New Zealand are regulated under the Animal Welfare Act 1999. One of the purposes of that Act is to protect the welfare of animals that are being exported from New Zealand and that are being transported by ship or aircraft, by ensuring that the risks faced by such animals are minimised. The application form for an Animal Welfare Export Certificate (AWEC) is available on the MAFBNZ website. This OAP does not cover animal welfare export certification.

1.2  International obligations

1.2.1  New Zealand is a signatory to the ‘Agreement on the Application of Sanitary and Phytosanitary Measures’ (the SPS Agreement). The SPS Agreement is the World Trade Organisation agreement that sets out the basic rules for food safety, and animal and plant health standards when a country is trading internationally. The SPS Agreement allows countries to set their own standards in these areas, but it also says that regulations must be based on reliable scientific evidence. Regulations should be applied only to the extent necessary to protect human, animal or plant life, or health, and they should not unjustifiably discriminate between countries where identical or similar conditions prevail. Member countries of the SPS Agreement are encouraged to use international standards, guidelines and recommendations where they exist. However, they may use
measures that result in higher standards if there is scientific justification. Member countries can also set higher standards based on appropriate assessment of risks so long as the approach is consistent, not arbitrary. New Zealand sets its standards for importation according to the SPS Agreement and endeavours to ensure that the spirit of the Agreement is applied when negotiating export requirements with countries to which we export.

1.2.2 MAFBNZ is the competent authority and is responsible for setting the requirements for export of live animals and germplasm. The standards are administered by the MAFBNZ Exports Group.

1.2.3 The World Organisation for Animal Health (OIE) is designated by the World Trade Organisation as the international animal health standard-setting organisation. The OIE produces a number of documents, including:
   a. the OIE Code
      The Terrestrial Animal Health Code, which can be found on the OIE website: http://www.oie.int/eng/normes/mcode/A_summary.htm
   b. the OIE Manual
      The OIE Manual of Diagnostic Tests and Vaccines for Terrestrial Animals (mammals, birds and bees) for diseases listed in the Code. This can be found on the OIE website: http://www.oie.int/eng/normes/mmanual/a_summary.htm

1.3 Introduction

1.3.1 MAFBNZ policy and the Act aim to facilitate trade in live animals and germplasm. Most importing governments require official assurances for live animals and germplasm to provide confidence that their import requirements have been met. These assurances are provided by NZFSA.

1.3.2 The claims made on official assurances must be substantiated in order to maintain the integrity of New Zealand as a trading partner and MAFBNZ’s reputation as a competent authority. This is achieved through systems allowing information relating to the assurances to be independently verified.

1.3.3 The Market Access and Official Assurance Principles\(^1\) are particularly relevant to providing a robust, trusted and consistent system for official assurances of exports of live animals and animal germplasm. Five of the principles are of particular relevance.

\[\textbf{Principle 3} – \text{Only Government can provide the official assurances underpinning market access, and these will be supported by adequate systems and processes}\]

\[\textbf{Principle 6} – \text{Export certification will be supported by adequate levels of verification and security}\]

\[\textbf{Principle 7} – \text{Government certification systems will be aligned and integrated across Government agencies as appropriate and applied equitably across export sectors}\]

\[\textbf{Principle 8} – \text{Third parties will be used at the verification step in the provision of official assurances wherever possible and their roles will be clearly defined}\]

\(^1\) Statement of Policy: Market Access and Official Assurances Principles (As signed off as the Pan-MAF Certification Principles by the SPS Forum, August 2006 )
**Principle 9** – Third party verifiers must meet internationally recognised standards that cover competencies, conflict of interest and quality systems. Government will define appropriate secondary / supplementary criteria to the international standards.

1.3.4 This OAP describes the procedures that must be followed in order to receive an official assurance to accompany exported live animals or germplasm. Additional requirements may have to be satisfied depending on the export requirements. Where germplasm and live animals are being exported to the European Union, those export requirements are in addition to this OAP and in some instances take precedence over this OAP.

1.3.5 The requirements of this OAP are outcome-focused, allowing exporters to have different methods of meeting the requirements where practicable. Therefore, as long as the required outcomes are met, alternative methods of achieving these requirements are acceptable.

1.3.6 The exporter must be aware that an official assurance is a general statement that certain requirements have been met. The Animal Products Act section 61 (2) of the Act states:

> “Without limiting the matters to which an official assurance may apply, an official assurance is a general statement to a foreign government, or an agent of a foreign government, attesting that, as appropriate, any 1 or more of the following applies in respect of any animal material or animal product:

(a) any specified process has been completed under this Act with respect to the animal material or product concerned;
(b) the animal product concerned meets the applicable animal product standards set under this Act;
(c) any requirements specified by notice under section 60A that are stated in the assurance have been met;
(d) the situation in New Zealand, in relation to any matter concerning animal material or animal products, is as stated in the assurance.”

1.3.7 The exporter must be aware that an official assurance is not a guarantee for entry of live animals or germplasm to a specific market. The Animal Products Act section 61 (3) of the Act states:

> “An official assurance is not a guarantee that the contents of all or any particular consignment of animal material or animal products to which it relates—

(a) necessarily meet the commercial requirements of the importer; or
(b) are fit for consumption or use no matter what the status or description of the consumer or user, or what has happened to the consignment or what has been its treatment since it left New Zealand; or
(c) are fit for consumption or use for a purpose other than that for which they were intended.”

1.3.8 The official assurance may be interpreted or applied differently at border inspection posts (BIPs) of the importing country concerned or even by different officials at the same BIP. This is largely due to the level of knowledge of the legislation and interpretation of import requirements between border inspectors. This is outside
MAFBNZ control, though MAFBNZ will intervene in an attempt to have consignments cleared where this is appropriate.

1.3.9 Any person involved in the export process must be aware of section 127(1) of the Act, which states:

"A person commits an offence who, with intent to deceive and for the purpose of obtaining any material benefit or avoiding any material detriment,—

(a) Makes any false or misleading statement or any material omission in any communication, application, record, or return for the purpose of this Act, or destroys, cancels, conceals, alters, obliterates, or fails to provide any document, record, return, or information required to be kept or communicated under this Act; or

(b) Falsifies, removes, misuses, alters, misapplies, misrepresents, or fails to apply any brand or material or product description or other form of identification of animal material or animal product required or authorised to be used under this Act; or

(c) Falsifies, removes, misuses, alters, misapplies, misrepresents, or fails to apply any identification, differentiation, or security system or device specified or approved or required under section 158; or

(d) Misrepresents, substitutes in whole or in part, adulterates, or otherwise tampers with animal material or animal product to which this Act applies so that it no longer matches or complies with its identification, description, certificate, label, or official assurance; or

(e) Falsifies, alters, or misapplies any certificate or declaration or other statutory form attached or relating to any animal material or animal product that is required or authorised to be used under this Act, or any official assurance, or tampers with any animal material or animal product that is subject to such a certificate, declaration, form, or assurance; or

(f) Falsifies, removes, suppresses, or tampers with any samples, test procedures, test results, or evidence taken or seized by an animal product officer, official assessor, or other recognised ... or authorised person or body in the exercise of their functions or powers under this Act; or

(g) Falsifies, removes, suppresses, or tampers with any samples, test procedures, or test results taken by or for an operator of a registered risk management programme for the purposes of that programme or this Act, or by or for a person subject to the requirements of a regulated control scheme for the purposes of that scheme or this Act; or

(h) Aids, abets, incites, counsels, procures, or conspires with any other person to commit an offence under this section."

1.3.10 The roles and responsibilities of various groups of people involved in the export of live animals and germplasm is shown in Figure 1 overleaf.
Figure 1. The roles and responsibilities in the export of live animals and germplasm

**Audit agencies**
- Audit the export certification process

**MAFBNZ**
- Apply to register
- Develop and maintain approved systems*
- Select animals and/or germplasm for export
- Obtain import permit*
- Check export requirements
- Ensure consignments meet export requirements
- Arrange isolation facilities*
- Ensure supporting documentation/declarations are provided to support certification*
- Arrange for authorised/recognised persons to carry out certification activities

**Exporters**
- Develop export certification standards and quality systems
- Negotiate export requirements
- Issue export certificate templates and export requirements
- Approve and register facilities
- Negotiate equivalence/dispensation requests
- Initiate audits of the export certification process

**Approved semen centres**
- Supervise preparation of export consignments and check supporting documentation/declarations to ensure compliance with export requirements
- Audit and recommend for approval semen centres and centre veterinarians
- Audit and recommend for approval embryo teams and embryo team veterinarians
- Audit and recommend for approval bee teams
- Audit and recommend* for approval pre-export isolation facilities
- Provide eligibility documents to the authorised person issuing the official assurance
- Verify germplasm/bee declarations
- Approve consignment plans and isolation plans

**Approved embryo teams**
- Undertake activities as required by the recognised person*
- Provide declarations to support certification*

**Approved bee teams**
- Check eligibility documents and germplasm/bee declarations to ensure compliance with export requirements

**Approved pre-export isolation facilities**
- Carry out functions* e.g. inspect the packaging of bee consignments

**Recognised agencies and recognised persons**
- Supervise preparation of export consignments and check supporting documentation/declarations to ensure compliance with export requirements
- Audit and recommend for approval semen centres and centre veterinarians
- Audit and recommend for approval embryo teams and embryo team veterinarians
- Audit and recommend for approval bee teams
- Audit and recommend* for approval pre-export isolation facilities
- Provide eligibility documents to the authorised person issuing the official assurance
- Verify germplasm/bee declarations
- Approve consignment plans and isolation plans

**Owners/managers/agents**
- Undertake activities as required by the recognised person*
- Provide declarations to support certification*

**Transporters**
- Check eligibility documents and germplasm/bee declarations to ensure compliance with export requirements

**Veterinarians**
- Carry out functions* e.g. inspect the packaging of bee consignments

**Export laboratories**
- Issue of an official assurance to the importing country

* where required
1.4 Glossary

1.4.1 Any term or expression that is defined in the Animal Products Act 1999, Animal Products (Ancillary and Transitional Provisions) Act 1999, or regulations made under those Acts and used but not defined in this OAP, has the same meaning as in those Acts or Regulations.

In this OAP, unless the context otherwise requires, the following definitions, abbreviations and interpretations are used:

_the Act, or APA_: the Animal Products Act 1999 unless otherwise stated

_any term or expression that is defined in the Animal Products Act 1999, Animal Products (Ancillary and Transitional Provisions) Act 1999, or regulations made under those Acts and used but not defined in this OAP, has the same meaning as in those Acts or Regulations.

_in this OAP, unless the context otherwise requires, the following definitions, abbreviations and interpretations are used:_

**animal**: any member of the animal kingdom, including:

- any mammal, bird (including hatching eggs), finfish, shellfish, reptile, amphibian, insect, or invertebrate
- any other creature or entity that is declared by the Minister by notice in the Gazette to be an animal for the purposes of this Act

**approved laboratory**: a laboratory approved by MAFBNZ as able to carry out nominated tests required for export certification

**authorised person**: a person employed by NZFSA and designated by the Director-General under section 65 of the Act as an authorised person for the purpose of issuing official assurances under section 61 of the Act, and for withdrawing and reissuing official assurances under section 64 of the Act

**bee declaration**: a document that is completed by a bee/team manager, which confirms information supporting the eligibility for export of any live bees that requires an official assurance

**bee team**: an approved group of staff under the supervision of a manager, who are approved to prepare live bees for export

**centre veterinarian**: an officially approved veterinarian who is responsible for day-to-day compliance of semen collection, processing and/or storage in accordance with this OAP

**cleaning**: the application of procedures that effectively remove surface and built-up dirt, as appropriate to the equipment/facility. These procedures may vary according to the nature of the equipment/facility they are applied to. Examples are:

- high-pressure hose and/or steam cleaning for concrete, steel, rubber and wooden surfaces associated with a collection facility
- hot water, detergents and/or abrasive cleaning agents for smooth work/interior surfaces in a laboratory or storage facility

**competence**: demonstrated ability to apply knowledge and skills

**conflict of interest**: where the duties or responsibilities of a person required by this OAP could be improperly affected by some other interest or duty the person may have

**consignment plan**: a plan drawn up for the export of large consignments of livestock to ensure that the consignment remains under continuous official control after the eligibility document has been issued, and until departure of the consignment from New Zealand
custom collection  collection of semen from animals that are not permanently resident on the centre (compared with collection from animals that are permanently resident on the semen collection centre)

defined area  an area within a facility, which is clearly demarcated for a specific purpose

Director-General  this term generally applies to the Director-General of NZFSA and for the purposes of this document includes his/her authorised delegates namely, the Director-General of MAF, Deputy Director-General of MAF, the Director Border Standards of MAFBNZ, Exports Manager MAFBNZ or other MAF employees with delegated authority to exercise appropriate powers under the Animal Products Act

disinfection  the application, after cleaning, of procedures intended to destroy agents of disease

dispensation  an exemption from a particular export requirement

eligibility document  a document that is issued by a recognised person, which confirms information supporting the eligibility for export of any live animal or germplasm that requires an official assurance

embryo  the initial stage of development of a domestic animal, while it is transferable to a recipient dam

embryo team  a group of technicians, under the supervision of a team veterinarian, competent to perform the collection/production, processing and storage of embryos/ova

equivalence  the situation where the sanitary measure(s) proposed by the exporting country, as an alternative to the requirements of the importing country, achieve(s) the same level of protection

export animals  animals destined for export from New Zealand to another country

export certificate template  the form of an official assurance determined by the Director-General pursuant to section 62 of the Act. Once the export certificate template is completed, printed on security paper, signed and dated by an authorised person, and stamped with that authorised person’s signatory seal, it becomes an official assurance

export requirements  the requirements specific to an identified overseas market(s) as related to the export of live animals and germplasm

exporter  a person or entity that is registered for the purpose of exporting animal products under the Act, unless exempt from registration

Exports Group  the section within MAFBNZ responsible for the development, negotiation and setting of export requirements for live animals and germplasm

facility  buildings, laboratories, yards, paddocks, collection facilities, apiaries, etc. associated with the export of live animals/germplasm
farm of origin the farm from which the animals originated immediately prior to entering pre-export isolation or a semen centre, prior to embryo collection, or prior to being exported

first-hand knowledge knowledge by a person of facts or information which have been directly observed or verified by that person. It does not include knowledge based on what a person has been told by another

germplasm semen, embryos, and ova

germplasm declaration a document that is completed by a centre/team veterinarian, which confirms information supporting the eligibility for export of any germplasm that requires an official assurance

germplasm register a record of the approval status of semen centres and embryo teams held by MAFBNZ

IATA International Air Transport Association
IETS International Embryo Transfer Society

import permit the document that is issued by an importing country allowing the importation of live animals or germplasm which may or may not specify the import requirements

inventory a system of control whereby an entity is able to satisfactorily demonstrate the identity, traceability and eligibility of germplasm or security paper/seals through their records

isolation keeping animals of the same export health status separate from other animals of a different or unknown status

isolation plan a plan drawn up for animals in MAF-approved pre-export isolation facilities to ensure that the animals remain in continuous isolation and under official control in accordance with the export requirements

issue (in relation to an official assurance) refers to the provision of the authorised person’s signature and seal on an export certificate template to transform it into an official assurance

issuing signature the signature of the authorised person on an official assurance. This will be the final signature applied to an export certificate template

MAF Ministry of Agriculture and Forestry
MAFBNZ Ministry of Agriculture and Forestry Biosecurity New Zealand. This is the department of the New Zealand Ministry of Agriculture and Forestry that fulfils the role of New Zealand’s Veterinary Administration in OIE terminology. It is the competent authority for live animals and germplasm

MAFBNZ conflict of interest policy “Policy for managing conflicts of interest when providing official assurances for export of live animals and germplasm”

MAFBNZ website http://www.biosecurity.govt.nz

non-compliance these are rated as follows:

a. critical non-compliance
b. major non-compliance
c. minor non-compliance.
A critical non-compliance compromises the integrity of export certification. Examples are:

- negligence
- non-disclosure of unfavourable test or examination results
- substitution of animals or samples
- failure to keep essential records
- false certification and/or altered signature
- failure to declare a conflict of interest
- failure to rectify any major non-compliance(s) within the agreed timeframe.

A major non-compliance is one that demonstrates a major failure in the operation of a documented procedure or a deficiency in veterinary science application. It may be a specific non-compliance or a system with multiple non-compliances having a cumulative effect. Major non-compliances may be created by escalation of outstanding issues from previous audits. Examples are:

- unsatisfactory submission of samples for testing
- major omission or inaccuracy in record-keeping.

A minor non-compliance is one that does not represent a major failure of an operation or system but that does require correction.

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**NZFSA VA**

New Zealand Food Safety Authority Verification Agency

**NZFSA website**

http://www.nzfsa.govt.nz

**official assurance**

a general statement to a foreign government, or an agent of a foreign government, attesting that certain conditions apply with respect to live animals or germplasm export. This includes, but is not limited to, statements regarding New Zealand’s animal health status, the residency, isolation, health, testing, treatment and inspection status, and transportation of the commodity to be exported. Only authorised persons may issue an official assurance.

**official veterinarian**

a veterinarian authorised by the Veterinary Authority of the country to perform certain designated official tasks associated with animal health and/or public health and inspections of commodities and, when appropriate, to certify in conformity with the provisions of section 1.2 of the 2007 OIE Code. (Veterinarians authorised or recognised under the Animal Products Act 1999 can be termed ‘official veterinarians’.)

**OIE**

World Organisation for Animal Health (the name Office International des Epizooties was abolished in 2003; the acronym has been maintained)
operator the person who has overall responsibility for a pre-export isolation facility, its maintenance and operation

ovum a reproductive cell of a female animal produced by an ovary, and capable of developing into a new individual after fertilisation by sperm

premises the place where a live animal business is operated

recognised agency in relation to any function or activity means a person or body recognised under section 103 of the Act for the purpose of performing specified functions and/or activities

recognised person in relation to any function or activity means a recognised under section 103 of the Act for the purpose of performing specified functions and/or activities

representative facility a facility which serves as a typical or characteristic example of that facility as used by an embryo team

ruminants cattle, deer, goats, lamoids and sheep

security paper watermarked security paper. The front side of each sheet has a disruptive wavy background with the words ‘Ministry of Agriculture and Forestry Te Manatu Ahuwhenua, Ngaherehere’. Security paper intended for the front page of an official assurance also has at the top the MAF logo and the New Zealand Government Coat of Arms. A unique shoulder number is on the top right corner of the front page and subsequent sheets have a space for the shoulder number to be entered.

Pre-printed export certificates for the export of dogs and cats and canine and feline semen to Australia are printed on paper with a disruptive wavy background with the words ‘Ministry of Agriculture and Forestry Te Manatu Ahuwhenua, Ngaherehere’. The MAF logo is on the front page and a unique shoulder number on the top right corner of the front page. Subsequent sheets have a space for the shoulder number to be entered. These pre-printed export certificates should not be regarded as security paper as defined above.

security seal a MAF seal, which is a uniquely marked device used for the purpose of detecting whether cages or containers containing live animals or germplasm have been tampered with after the official assurance has been issued

This does not include non-MAF seals, which may be used prior to issuing an official assurance.

semen centre an officially approved and supervised facility(s) where one or more of the following activities occurs: keeping animals, collecting semen, processing semen, and storing semen. A centre may have separate facilities on different sites

signatory seal a MAF stamp, with a unique, four-digit number, issued to an authorised person

specifications any specification issued under section 60 (2) of the Act

sterilisation to free from living micro-organisms

supporting documentation a document, provided by a person other than a recognised person, providing information to support the eligibility for
export of any live animal or germplasm that requires an official assurance

**team veterinarian** an officially approved veterinarian who is responsible for supervision of the embryo team and the day-to-day compliance of the embryo team with this OAP

**technical manager** the person with overall responsibility for the technical activities of the recognised agency

**transit country** a country through which export animals or germplasm pass, but are not given clearance to enter on their way to the country of destination

**veterinarian** a veterinarian registered under the Veterinarians Act 2005

**voided** (in relation to a box or blank space in an export certificate template) means ruled off after the last entry and a diagonal line added, or the box otherwise filled so as to prevent the unauthorised entering of information after signing

**work manual** the documentation outlining the quality system of a semen centre or embryo team

### 1.5 Interpretation of export requirements

1.5.1 Terms occurring in some export certificate templates and their interpretations are presented below. Terms in particular export certificate templates might not be worded in exactly the same way as the terms presented in this list, but will have the same intent. Where terms are defined in the supplementary notes to an export certificate template that definition takes precedence over the interpretation listed here.

**after due enquiry / to the best of my knowledge and belief**
Where declarations are taken to support ‘due enquiry’, a number of declarations may be required to satisfy an export requirement, depending on the depth of knowledge of the person providing the declaration. Declarations must be taken from appropriate persons and must relate to their knowledge of a situation, not their knowledge of another person’s integrity.

**area / premises / herd / flock / apiary of origin / individual animal disease status**
Disease status may be required to be certified for area / premises / herd / flock / apiary of origin / individual animal. For further information, see ‘clinically diagnosed’, ‘disease’, ‘disease-free region’, ‘evidence of contagious or infectious disease’, ‘free from veterinary/quarantine restrictions’, ‘freedom from disease’, ‘not been known to occur’ and ‘premises of origin’. Animals for export must be able to be individually traced, by a documented trail, back to the entities above to satisfy this clause.

**cleaning and disinfection**
See definitions for ‘cleaning’ and ‘disinfection’ in section 1.4 Glossary.

For germplasm and pre-export isolation facilities, MAFBNZ accepts the following surfaces as able to be cleaned and disinfected:

- wood and concrete surfaces, as long as they are in good condition (e.g. rotten wood and broken concrete surfaces are not able to be cleaned and disinfected).
- surfaces where aggregate (e.g. sand) is used, for example in semen collection centres to provide secure footing. These areas must have concrete flooring underneath, so the aggregate can be removed and the flooring underneath effectively cleaned and disinfected
• other surfaces (e.g. carpet), although not able to be effectively cleaned and
disinfectected, may be used if they can be easily removed.

clinically diagnosed
For a disease to be clinically diagnosed, it would require a visual and physical
veterinary examination of the animal. Declarations for this type of activity should
include:
• type of examination carried out
• extent of examination
• date and place of examination
• findings.

disease
‘Disease’ may be mentioned in the context of the following broad categories:

OIE diseases:
These can be found in the Terrestrial Animal Health Code (Mammals, Birds and
Bees). Export requirements usually refer to specific diseases. The Exports
Group may be consulted for further information regarding these diseases.

specific diseases
These are specified in the export requirements. Their status should be
established using the information under ‘freedom from disease’.

notifiable diseases
These may be notifiable in New Zealand or in the importing country. They
should be specified in the export requirements. Notifiable diseases in New
Zealand are published under the Biosecurity (Notifiable Organisms) Order 2002
on the MAF Biosecurity New Zealand website.

general disease
This is often used in terms of assessing the fitness of an animal to travel (see ‘fit
to travel’). Where specific examinations are required, these will be stated in the
export requirements.

disease-free region
The term ‘region’ is not definitive. It should either be defined in the supplementary
notes to the export requirements or be part of an official disease control or eradication
programme. Investigations for this type of claim should include the relevant enquiries
from those listed under ‘freedom from disease’.

equivalent health status
Any in-contact animals must be of the same certifiable disease status as those being
certified; therefore, treatment and testing of the in-contact animals may be necessary.
The term ‘equivalent health status’ may also be applicable to the disease status of the
premises or herd/flock/apiary of origin, and the means of transport to a collection
point. If the disease status of an animal or group of animals is unclear, they must not
be mixed with another group until the disease status is clarified.

evidence of contagious or infectious disease
The diagnostic criteria may be specified in the export requirements. For some
diseases, this may be solely laboratory confirmation of the disease. For others, e.g.
ringworm, a clinical veterinary examination may be required. Declarations for this
type of statement should include:
• type of examination carried out
• extent of examination
• date and place of examination
• findings.

fit to travel
Animals for export must be healthy, not show any injury that could affect their ability to travel and be in adequate body condition. Factors to take into account:
• animals should be bright and mentally alert. If sedated, they should be in a reasonable mental state considering the sedation
• young animals must be sufficiently developed to cope with the duration and type of journey
• animals must be able to stand on all feet and move freely
• any wounds should be under treatment and not likely to present problems during transport
• where an animal is on medication, consideration must be given to whether the stress of travel might compromise that animal’s health
• animals should have no abnormal discharges from external orifices or skin diseases
• body condition must be adequate for the duration and type of journey
• animals should be pre-conditioned to on-board rations, where applicable
• transport containers/crates must be suitable for animals in question as well as the type of journey
• where relevant IATA and MAF standards and guidelines are published, they must be adhered to.

flock/herd/apiary of origin
A group of animals, living and feeding together as an epidemiological unit, from which animals to be exported have been derived or had their primary source. The importing country may qualify the term of ‘herd/flock/apiary of origin’ for a specified amount of time in the immediate past. Some farming units may be able to have more than one herd/flock/apiary of origin on the one property (i.e. the animals may not be sharing common facilities or paddocks). Any changes to the make-up of the herd/flock/apiary of origin should not affect the ability to certify with regard to disease freedom. Therefore the following should be considered:
• the health status of the animals entering the herd/flock/apiary
• the health status of the property from which they originate
• specific export requirements.

freedom from disease
The export requirements must state:
• the disease in question
• the period of time for which freedom is required
• declarations to support this type of statement should be based on information from:
  • registered veterinarians or apiary officers who service the premises/animal(s) in question
  • industry control or eradication databases
  • animal health laboratory databases
  • National Notifiable Diseases databases
  • National Disease Surveillance reports
  • NZFSA Verification Agency
  • animal product businesses
  • export test reports
  • owners of animals.
A number of declarations may be required to satisfy an export requirement clause, depending on the depth of knowledge of the person providing the declaration. For example, the farmer may state that to the best of his or her knowledge no cases of a disease have been diagnosed and give the names of the veterinary practices that have serviced the farm over the period required. The veterinarian(s) servicing the farm, in a separate declaration, may state that the practice has visited the farm a certain number of times in the period in question and that no cases of the disease have been diagnosed by their veterinary practice. The official veterinarian has the discretion to decide where a declaration is insufficient.

**Free from veterinary/quarantine restrictions**
The owner of the premises in question should be asked whether the property is under movement control or other restrictions. The Exports Group may be consulted to ascertain whether there have been any outbreaks of notifiable disease. The Animal Health Board database shows properties under ‘movement control’ for bovine tuberculosis.

**Not been in contact**
Where all contact (both direct and indirect) is to be prevented, there must have been no direct contact between the export animals and other animals that could compromise their export health status, or indirect contact via their feed, water and waste products, the facility(s), or personnel handling other animals during the specified period. Allowance may need to be made for other species coming into contact with the animals for export. For example, in general, dogs should be allowed to be used to move ruminants. Where this term applies to transport of animals, declarations for this type of activity should include:
- time of departure from the collection point
- route taken to the destination
- time of arrival at the destination
- information required regarding cleaning and disinfection (including active ingredient and concentration used).

The export requirements may specify that a seal be used on the means of transport. It is appropriate for the recognised person to require the means of transport to be sealed, even when not required by the conditions of the export requirements, where he/she deems it necessary to prevent contact with other animals.

**Not been known to occur**
This refers to the absence of clinical disease (see ‘clinically diagnosed’). Enquiries should be made such as those set out in ‘freedom from disease’.

**Premises of origin**
Premises are considered to be the unit of land, including buildings, from which the animal(s) for export are derived. Clarification of this term may be required in the supplementary notes of the export requirements to give a time period over which all the premises on which the animal(s) has resided must be considered to be premises of origin for disease freedom purposes, particularly where the animal(s) is not required to stay on a single property during the time stated.

**Scheduled date of departure/export**
The term ‘scheduled date of departure/export’ is commonly used rather than the ‘date of departure/export’. The actual date of departure may be up to five days later than the ‘scheduled date of departure’ without jeopardising the validity of the official assurance. This may occur when the intended date of departure of the ship/plane is delayed, e.g. due to mechanical problems.

**Supervision**
Supervision may be direct or indirect.
‘Direct supervision’ means that the specified supervisor is present throughout the task. ‘Indirect supervision’ means that the specified supervisor is in a position to respond to a request for assistance. In both cases, the person undertaking the activity must be properly informed of the expectations placed on them. Some export requirements state that persons of a certain status must perform activities in the export process. In those cases, the specified person must perform the task.
Part 2  General requirements

2.1 Requirements for exporters

2.1.1 Exporters of live animals and germplasm must be registered according to the provisions of section 48 of the Act. The act provides for exemptions in certain cases.

The Animal Products (Exemptions and Inclusions) Order 2000 exempts from registration the following:
(a) owners of live animals wishing to export these for non-commercial purposes
(b) persons exporting animal material/products for scientific analysis (otherwise than for reward or in the course of trade)
(c) certain foods containing animal/material products.

However, commercial exporters of non-commercial animals must be registered.

2.1.2 Exporters must obtain the importing country’s latest requirements where these are not held by MAFBNZ. Where these are supplied in a language other than English, the exporter must provide a translation from a translation service agreed with MAFBNZ, at the exporter’s expense.

Exporters cannot assume that the importing country’s requirements will/can automatically be met. Negotiation may be required and systems may need to be developed to meet these requirements. Export requirements published by MAFBNZ are the latest requirements as understood by MAFBNZ. These are not necessarily up-to-date, as importing countries often do not automatically advise changes to MAFBNZ. Import permits issued by the importing country often contain their latest import requirements. However, these have not necessarily been agreed with MAFBNZ. Pre-export preparations should not begin until the import and export requirements are clearly understood. Where an import permit is required, exporters are strongly advised to obtain the permit before beginning pre-export preparations to check that the permit requirements match the export requirements.

Where import requirements do not agree with the export requirements published by MAFBNZ, the Exports Group should be advised in sufficient time prior to export, so that changes can be made and negotiations undertaken where necessary.

2.1.3 Exporters must obtain import permits from the importing country, where these are required.

2.1.4 Exporters must familiarise themselves with the export requirements, and the import permit, where required.

2.1.5 Where export requirements contain standard clauses relating to certain aspect(s) of the export, they must be interpreted according to section 1.5.

Where there is an entry in the export requirements that is not covered in section 1.5, the supplementary notes pages may contain further information about the entry and how it may be satisfied. Where terms are interpreted in the supplementary notes pages to the export requirements, that interpretation takes precedence over the interpretation in section 1.5. Some terms in particular export requirements may not be worded in exactly the same way as the terms presented in section 1.5, but may have the same intent. The Exports Group should be consulted for an acceptable interpretation.
2.1.6 Where the import permit is supplied in a language other than English and includes the import requirements, the exporter must provide a translation from a translation service agreed with MAFBNZ, at the exporter’s expense.

If an import permit is not required, the onus is on the exporter to ensure that the import requirements still match the relevant export requirements. Where applicable, exporters are advised to present the import permit(s) to a recognised person so that the conditions in the permit can be checked and matched to the relevant export requirements. MAFBNZ will not negotiate with an importing country to facilitate an export where insufficient organisation has resulted in failure to meet the export requirements that have been agreed between New Zealand and the importing country.

2.1.7 Exporters must meet the requirements of other government departments and international conventions, where applicable. Examples include Customs Export Prohibition Orders, Convention on International Trade in Endangered Species (CITES), Department of Conservation (DoC), Environmental Risk Management Authority (ERMA), and Convention on Biological Diversity.

2.1.8 Exporters intending to export live animals or germplasm for which an official assurance is required must give adequate notice to any recognised or authorised persons involved with the consignment so that certification activities can be carried out in a timely manner.

To ensure orderly preparation of large consignments of livestock, exporters should give the appropriate recognised and authorised persons adequate notice of the shipment prior to the minimum time specified for testing and isolation. ‘Adequate notice’ should be defined by agreement between the parties involved.

2.1.9 Exporters must present for export only live animals or germplasm that meet the export requirements, and this OAP.

2.1.10 The exporter must ensure that live animals or germplasm eligible for export are not mixed with live animals or germplasm that are not eligible.

2.1.11 Where an import permit is required, it must be presented to the authorised person issuing the official assurance prior to export.

In the case of day-old-chicks and hatching eggs, the permit may be provided to the authorised person issuing the official assurance after export.

2.1.12 Where the export requirements so specify, the import permit presented to the authorised person must be the original.

2.1.13 Exporters must ensure that:
   a. any identification requirements of live animals or germplasm for export are adhered to
   b. suitable pre-export isolation facilities are used where isolation or quarantine is specified in the export requirements

For pre-export isolation requirements, refer to Part 10 of this OAP.
c. suitable transport for export animals is arranged so that the export requirements are met
d. sealing of containers is carried out according to the export requirements, where applicable
e. the requirements of any transit countries are met.

2.1.14 For preparation of an export consignment exporters must:
a. identify live animals and animal germplasm so that the identification can be confirmed whenever an activity is carried out on them for certification purposes
b. correctly enter any identification on the export certificate template and any documentation that supports it.

Identification may include: descriptions of species, breed, sex, colour, markings, microchip numbers, tattoo numbers, brands, leg bands, tags, and indelible ink on germplasm containers.

2.1.15 Where live animals or germplasm are confined in cages, containers or other enclosures which have been sealed from the time of the previous identification, confirmation of the identification is not required, except in the situation described in section 5.6.

2.1.16 Where microchipping of animals is required, all persons undertaking certification or procedures for the purposes of certification on animals that have microchips implanted must have a reader capable of reading ISO-compliant microchips and must identify the animal(s) at each certification activity.

2.1.17 Where an animal has been implanted with a non-ISO-compliant microchip, it must be re-microchipped or the exporter must provide a suitable reader.

2.1.18 All laboratory testing specified in the export requirements must be carried out by a laboratory approved by MAFBNZ for requisite export testing.

2.1.19 In the situation of day-old-chicks/hatching eggs, routine laboratory testing of flocks of origin may be carried out by a laboratory deemed by MAFBNZ to be of equivalent status.

The Exports Group maintains a list of approved laboratories on the MAFBNZ website along with lists of the testing procedures each laboratory is approved to undertake.

2.1.20 Where the export requirements specify a particular regime of cleaning and disinfection, this must be adhered to. In all other situations, vehicular transport used to transport animals of a certified health status must be cleaned and disinfected prior to transport in order to maintain the animal health status.

A transport declaration form is available in Appendix I.

2.1.21 Where supporting documentation is acquired by the exporter he/she must comply with the requirements of section 5.10. In addition he/she must ensure that:
a. all records and supporting documentation for exported live animals and germplasm are kept for a period of at least seven years
b. any file copy of supporting documentation is a faithful and legible replica.
Supporting documents provide information supporting the eligibility for export of live animals or germplasm.

Supporting documents include (but are not limited to):
- laboratory reports
- declarations from owners/breeders regarding animal residency and contact with other animals
- declarations from registered veterinarians or technicians, where the export requirements allow them to perform certain activities
- declarations from transporters (e.g. truck drivers, pilots, ship masters) regarding disinfection of transport, routes taken to ports and contact with other animals.

2.1.22 Exporters applying for an eligibility document (see section 5.1) must provide the following information to the recognised person:
   a. the exporter’s name, contact details and registered exporter identification
   b. a valid import permit, where applicable
   c. the intended export date and time
   d. the ports of departure and destination
   e. details of the consignment involved (live animals or germplasm).

Consignment details required will be determined by the export requirements, and may include species, breed, age, number of animals/straws/eggs, name of animal, herd book registration number.

The acceptance of the information in clause 2.1.22 does not guarantee that the intended export will occur.

2.1.23 Exporters must advise the recognised person prior to export of any changes to the information detailed above (see clause 2.1.22).

2.1.24 Exporters must ensure that the certified status of the live animal(s) or germplasm is not altered between the time of issuing the eligibility document/germplasm declaration/bee declaration, and official assurance, and the departure from New Zealand.

2.1.25 Exporters must make any export consignment and/or premises/facility/farm of origin available for inspection by a recognised person, authorised person, or MAFBNZ auditor, if requested.

Exporters should communicate with the owner of the premises/facility/farm of origin that such inspections may be carried out.

2.1.26 For exporters to hold security paper for printing export certificate templates, they must:
   a. be approved by MAFBNZ
   b. have a documented system in place to control the use of the paper
   c. be audited.

For requirements for approval to hold security paper see section 5.11 of this OAP.
2.1.27 Exporters must notify the Exports Group as soon as possible (not later than 24 hours after the event or first knowledge of the event) where an official assurance has been signed and the live animals or germplasm exported or to be exported:
   a. do not meet or no longer meet the conditions of the official assurance under which they have been, or will be, exported
   b. have had their official assurance lost or misplaced
   c. are refused entry by the importing country.

These requirements are in accordance with section 51 of the APA.

2.2 Consignment plan for exports of large consignments of livestock

A consignment plan is necessary to ensure that the consignment remains under continuous official control after the eligibility document has been issued.

2.2.1 An exporter must prepare a consignment plan for export consignments of cattle, sheep, goats and deer that are greater than 200 animals.

2.2.2 The consignment plan must be approved in writing by a recognised person prior to issuing the eligibility document.

2.2.3 The consignment plan must have documented procedures for:
   a. individual identification of livestock to be exported such that they can be easily identified at mustering and load-out
   b. tallying livestock at the yards prior to transportation to the port of departure
   c. the management of ineligible animals, showing how they will be conspicuously identified and removed from the mob

This is to ensure that the total number of animals and the identification of each animal correlates with the information provided on the schedule. Only a sample of each mob is required to have their individual identification checked.

Animals may be ineligible because of animal health status or physical characteristics.

   d. the management and identification of any 'spare' animals

‘Spare’ animals are those that fully meet the import requirements but are surplus, and can be substituted for animals on the schedule.

   e. contingency plans for any delay in export of the animals. Where animals are required to be kept in pre-export isolation they must only be off-loaded into an approved pre-export isolation facility to maintain their eligibility for export. Where unforeseen circumstances necessitate the off-loading into a facility other than an approved pre-export isolation facility, this may be granted by the Exports Group on a case-by-case basis.

2.2.4 The exporter or a nominated, experienced, representative of the exporter must be present at all loading to ensure that only compliant animals are loaded onto trucks that transport the animals to the port.
2.2.5 During load-out the recognised person must verify that the consignment plan has been adhered to.

2.2.6 The recognised person or his/her nominated representative must provide a document to the authorised person either confirming that all animals on the schedule have been loaded-out, or detailing any amendments to be made to the schedule.

2.2.7 Final port-side inspection of animals must be undertaken where specified in the export requirements.

2.3 Official assurances

2.3.1 An official assurance remains the property of the Director-General until received by a foreign government.

Official assurances contain statements made to a foreign government or agent of that government attesting that one or more things have occurred in relation to live animals or germplasm. Official assurances attest that the live animals or germplasm are fit for a particular purpose, that they have met the requirements of New Zealand legislation and any specific import requirements of the foreign government, and that New Zealand has a defined status in relation to animal diseases. For certification requirements see Part 5 of this OAP.

2.4 Equivalence and dispensation

2.4.1 Exporters requesting an equivalence or dispensation must provide the following information to the Exports Group:
   a. the exporter’s and importer’s names and addresses
   b. the name of the importing country
   c. the port of entry into the importing country
   d. the name and address of destination of the consignment
   e. the import permit number, where applicable
   f. the intended date of shipment
   g. the species, breed and class of stock, and animal or germplasm identification
   h. details of the issue or requirement for which equivalence or dispensation is proposed
   i. the technical justification for equivalence.

The acceptance of this information does not guarantee that the intended export will occur. For equivalence and dispensation see Part 5 of this OAP.

2.5 Communications with foreign authorities

2.5.1 On matters relating to official assurances, exporters, recognised agencies, recognised persons, or authorised persons are not to engage in any direct communication with foreign governments or with New Zealand overseas diplomatic or trade posts, without prior authorisation from the Exports Group.

2.6 Airline holding facilities
This section relates to facilities that are non-approved, handle only consignments that are fully prepared and packaged for export, and are situated within the security confines of the airport.

2.6.1 Live animals or germplasm intended for holding in an airline holding facility must be clearly identified so that verification can be carried out prior to export, if required.

2.6.2 Airline holding facilities must not hold live animals for longer than 24 hours without prior consent of the Exports Group.
Part 3  Requirements for recognised agencies

This Part sets out the requirements for agencies that manage and supply recognised persons and non-recognised persons to perform functions and activities which support the issuance of official assurances for the export of live animals and germplasm.

Recognised agencies are recognised under section 100 of the Act.

Registered exporters wishing to export live animals or germplasm should approach recognised agencies to obtain their services for functions and activities required to satisfy authorised persons (who issue the official assurance) that the live animals or germplasm to be exported meet the export requirements.

3.1  Requirements for recognised agencies

3.1.1  A recognised agency must:

a. be accredited to AS/NZS ISO/IEC 17020:2000 ‘General criteria for the operation of various types of bodies performing inspection’; and comply with the independence criteria of a Type A inspection body as described in Appendix A of AS/NZS ISO/IEC 17020:2000

b. have the relevant competencies and resources to reliably meet and maintain the specified functions and activities

c. be of good reputation, including the reputation and character of the director(s) and/or manager(s) of the agency

d. remain impartial and independent when carrying out the relevant functions and activities

e. meet the requirements of any regulations or specifications made under the Act

f. appoint a technical manager.

3.1.2  The recognised agency must meet all other technical requirements as prescribed by MAFBNZ for one or more of the following functions for which they are seeking approval:

a. issuing eligibility documents for all animal species (excluding bees), and germplasm

b. issuing eligibility documents for bees and broodcomb

c. auditing semen centres and embryo teams and recommending their approval

d. auditing bee teams and recommending their approval

e. approving pre-export isolation facilities

f. auditing continuously approved pre-export isolation facilities and recommending their approval

g. approving consignment plans

h. such other functions as may be decided by the Exports Group.

3.2  Application to become a recognised agency

3.2.1  Any person or any organisation wishing to become a recognised agency must apply to the Exports Group using the application form in Appendix I, and pay the required fee and any direct charges.

Fees and direct charges are set by regulation and are subject to change. This information is available on the MAFBNZ website.
3.2.2 The Director-General may treat any group of persons within NZFSA as a recognised agency without application having to be made.

3.2.3 A recognised agency must apply to an accreditation body authorised to accredit to AS/NZS ISO/IEC 17020:2000.

3.2.4 Upon receipt of the agency’s application, the accreditation body shall appoint a joint assessment team with appropriate technical representation from MAFBNZ.

3.2.5 The joint assessment team must assess the agency’s application and its procedures for compliance to AS/NZS ISO/IEC 17020:2000 and this OAP.

3.2.6 MAFBNZ may give provisional approval to the agency to undertake services, under conditions specified by MAFBNZ.

3.2.7 The joint assessment team must undertake a system audit of the provisionally recognised agency’s documented procedures. Any significant non-compliance must be rectified.

3.2.8 Accreditation must be obtained within six months of the provisional recognition being granted, or that recognition will be withdrawn.

Costs associated with audits are the responsibility of the recognised agency. MAFBNZ costs will be charged to the agency in accordance with charges current at the time of audit. The fees and direct charges are set by regulation and are subject to change.

Following the decision to grant recognition, the Director-General will supply a notice of recognition specifying the functions that the applicant may undertake and any other conditions as specified in section 103 of the Act.

3.3 Amendments to functions of the recognised agency

3.3.1 A recognised agency must apply to change the functions for which it is recognised using the application form in Appendix I. An application fee must accompany the form.

3.4 Refusal to grant recognition

3.4.1 If the Director-General proposes to refuse to grant recognition of an agency, the agency must be notified of that intention, together with reasons. The agency will be given reasonable opportunity to make written or oral submissions prior to a final decision being made.

Section 104 of the Act specifies the details of a refusal. The Act makes provision for review processes where a decision has been made by a person acting under the delegated authority of the Director-General of NZFSA. These processes are detailed in section 162 of the Act.

3.5 Retention of status of a recognised agency

3.5.1 A recognised agency retains recognition on the basis of:

a. submission of the completed application form in Appendix I to the Exports Group and payment of the required fee and any related direct charges
b. compliance with the joint accreditation body and MAFBNZ audit of each function it is recognised for; this audit must be carried out at least once a year

c. completion by the recognised agency of an annual internal audit of their systems and notification of the results of this audit to the Exports Group within 15 working days of its completion

d. full payment of all fees and direct charges as set by MAFBNZ.

3.6 Withdrawal of status as a recognised agency

3.6.1 MAFBNZ may at any time, by notice in writing, propose to withdraw the recognition of an agency if satisfied that the agency:

a. is no longer fit and proper to undertake functions and activities for which recognition was granted

b. has failed to comply with any term or condition of the recognition or has failed to meet any performance criteria specified by the Director-General by notice under section 167 of the Act

c. has contravened or failed to comply with any requirement of the Act.

3.6.2 MAFBNZ must give the agency reasonable opportunity to be heard prior to withdrawal of the recognition status. Review rights may be exercised in accordance with section 162 where the decision is made by a person acting under the delegated authority of the Director-General.

For details of this process refer to section 109 of the Act.

3.6.3 The recognised agency must acknowledge receipt from MAFBNZ of the withdrawal of their recognition and must not perform any further functions as a recognised agency.

3.6.4 As soon as is practicable following the withdrawal of recognition, the recognised agency must take all reasonable steps to formally notify this to all organisations and persons to which it was providing services immediately prior to the withdrawal of recognition.

3.6.5 If recognition is withdrawn, the agency must return the notice of recognition to the Exports Group within 20 working days of the effective date of the withdrawal of recognition.

3.7 Surrender of status as a recognised agency

A recognised agency may surrender its status as a recognised agency at any time by giving notice to MAFBNZ in writing (refer to section 110 of the Act). Such surrender will normally take effect three months from the receipt of notice by MAFBNZ or on an earlier date as approved by MAFBNZ.

3.7.1 Following the surrender of status as a recognised agency the agency must return its notice of recognition to MAFBNZ.

3.7.2 A recognised agency must continue to provide all functions up until the agreed date of surrender unless doing so would violate the conditions of recognition.
3.8 List of recognised agencies

3.8.1 The Exports Group must maintain a list of all recognised agencies and the functions and activities for which they have recognition.

The list of recognised agencies, together with the functions for which they are recognised is available on the MAFBNZ website.

3.9 System requirements for recognised agencies

3.9.1 A recognised agency must establish, document and maintain systems and procedures that comply with the Act, associated regulations, notices, and directions, this OAP, and the MAFBNZ conflict of interest policy.

3.9.2 Recognised agencies must ensure that:
   a. functions for which the agency is recognised are carried out only by persons specifically recognised to do so (administrative activities and related support matters may be carried out by non-recognised persons)
   b. the competency of recognised persons is assessed and maintained
   c. recognised persons are not placed in situations that compromise their impartiality and independence in the performance of their functions as recognised persons
   d. the agency is adequately resourced to carry out its functions and activities
   e. where non-recognised persons carry out activities that support the issuance of official assurances for the export of live animals and germplasm, systems and procedures are in place for these activities.

3.9.3 In order for the recognised persons to maintain impartiality and independence in carrying out the functions for which they are recognised, the recognised agency must assist in the resolution of any situation that comprises the recognised persons’ impartiality and independence.

3.9.4 A recognised agency must ensure that any recognised persons under its management comply with the requirements of the Act, associated regulations, notices, and directions, and this OAP, relevant to their functions and activities, irrespective of the employment or contractual basis of their relationship with the agency.

3.9.5 A recognised agency must ensure that any relevant directions given by the Director-General are implemented by the agency and communicated to the appropriate recognised persons within the agency.

3.9.6 A recognised agency must ensure that its recognised persons have access to:
   a. up-to-date versions of the Act, this OAP, the Veterinary Council of New Zealand Code of Professional Conduct for Veterinarians, AS/NZS ISO/IEC 17020:2000, the OIE Code, the IETS Manual, and EU Directives/Decisions/Regulations
   b. the MAFBNZ conflict of interest policy
   c. the MAFBNZ website
   d. IATA Regulations relating to the carriage of animals by air
   e. communication systems of telephone, fax, email and courier services.

3.10 Applications for recognition of recognised persons
3.10.1 Where a person applying for recognition is employed or contracted by a recognised agency, that agency must:
   a. assess the person against the criteria relevant to the proposed functions and activities (see sections 3.1.8 and 3.10-3.17)
   b. forward the application for recognition to the Exports Group on the applicant’s behalf when satisfied that the person meets the criteria
   c. provide documentation to the Exports Group that the person meets the criteria.

3.10.2 Where a person applying for recognition is employed or contracted by more than one agency, each agency must assess the applicant’s competency to perform the functions for which recognition is sought.

3.11 Transfer of approval documentation between recognised agencies

3.11.1 Recognised agencies shall cooperate with each other in accordance with section 16 of AS/NZS ISO/IEC 17020:2000.

3.11.2 When a MAFBNZ-approved entity elects to transfer to another recognised agency the new agency must ensure:
   a. the entity’s approval is current
   b. the entity’s activities are included in the functions and activities for which the recognised agency is approved
   c. the entity’s non-compliances have been appropriately resolved and closed out
   d. the audit frequency applied by the former recognised agency is known.

3.11.3 The incumbent recognised agency is responsible for the completion of verification services to the entity until formal acceptance of the transfer has been received from the new recognised agency.

3.11.4 Upon transfer, the new recognised agency must:
   a. notify MAFBNZ within 24 hours of acceptance of transfer
   b. notify the incumbent recognised agency that they have accepted business within 24 hours of acceptance of transfer
   c. request copies of all audit records and non-compliances from the incumbent recognised agency
   d. conduct a full audit of the entity within one month of accepting the transfer, and this audit may be regarded as the entity’s six/twelve month audit.

3.12 Recognised agency’s cessation of service to an entity

3.12.1 A recognised agency must notify the Exports Group within 24 hours, with the reason why, where it elects to no longer provide services to an entity.

3.13 Movement of recognised persons and functions between recognised agencies

3.13.1 When a recognised person elects to be contracted or employed by another recognised agency, the former agency must ensure that any consignments under preparation for export are able to be completed.
3.13.2 Where a recognised person is carrying out ongoing functions/activities for an approved entity and the recognised agency will no longer be able to provide those functions/activities after the recognised person has moved, this recognised agency must notify the Exports Group within 24 hours and ensure that such functions/activities will be maintained for at least ten working days following this notification.

3.13.3 When a recognised person elects to be contracted or employed by another recognised agency, the new agency must:
   a. make an application for the recognised person in accordance with clause 3.10.1
   b. ensure that the recognised person's function(s) is included in the functions and activities for which the recognised agency is approved
   c. ensure that any non-compliance held by the recognised person has been appropriately resolved and closed out.

3.14 Communication of status as a recognised agency

3.14.1 The recognised agency, in making reference to its approved status, must use only the following phrase or an equivalent phrase approved by MAFBNZ:

   “Approved by Ministry of Agriculture and Forestry, Biosecurity New Zealand to provide “[state the function options]”.

3.14.2 The MAF, MAFBNZ logo or the word MAF or MAFBNZ must not to be used.

3.15 Confidentiality

3.15.1 All information obtained by a recognised agency whilst carrying out their functions and activities must:
   a. be managed in accordance with the Privacy Act 1993
   b. be made available to MAFBNZ if requested
   c. not be released to a third party without prior approval from the Exports Group.

3.16 Management of consignments for export

3.16.1 Where two or more recognised persons share functions and activities for the same export consignment of animals or germplasm, one recognised person must be appointed to have overall accountability.

3.17 Reporting

3.17.1 The recognised agency must provide to MAFBNZ the following reports at specific frequencies, as stated in Table 3.1.

Table 3.1: Reporting requirements

<table>
<thead>
<tr>
<th>Reports</th>
<th>Event</th>
<th>Quarterly</th>
</tr>
</thead>
<tbody>
<tr>
<td>For semen centres, embryo teams, continuously approved pre-export isolation facilities and bee teams, the audit report and non-compliance report (see Appendix I).</td>
<td>X^3</td>
<td>X^3 where</td>
</tr>
<tr>
<td>Reports</td>
<td>Event</td>
<td>Quarterly</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>--------------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td>For pre-export isolation facility(s) (non-continuous), consignment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>plans for export of large consignments of livestock, and any other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>specific approval according to export requirements, a summary of</td>
<td></td>
<td></td>
</tr>
<tr>
<td>these approvals including:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. number of approvals/plans and type</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. issues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interceptions of live animals or germplasm by importing countries</td>
<td>X summary</td>
<td>X1</td>
</tr>
<tr>
<td>of which recognised agencies have been made aware.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Eligibility documentation identifying:</td>
<td>X summary</td>
<td>X1 summary</td>
</tr>
<tr>
<td>a. number completed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. issues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. non-compliance findings and corrective actions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Major and critical non-compliance findings identified within the</td>
<td>X3</td>
<td>X1 where</td>
</tr>
<tr>
<td>recognised agency’s own system identified during internal audits</td>
<td></td>
<td>critical</td>
</tr>
<tr>
<td>or via other sources, and corrective actions undertaken.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disputes and appeals, identifying:</td>
<td></td>
<td>X summary</td>
</tr>
<tr>
<td>a. background to the issue</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. outcome</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. legal action and settlements where applicable.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Potential issues likely to impact on the integrity of live animal and</td>
<td>X1</td>
<td></td>
</tr>
<tr>
<td>germplasm export certification.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Changes to the recognised agency’s directorship, management or</td>
<td>X2</td>
<td></td>
</tr>
<tr>
<td>recognised persons.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Changes to the approval status of centre veterinarians of semen</td>
<td>X2</td>
<td></td>
</tr>
<tr>
<td>centres.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Changes to the approval status of team veterinarians of embryo</td>
<td>X1</td>
<td></td>
</tr>
<tr>
<td>teams.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Changes to the approval status of bee teams.</td>
<td>X2</td>
<td></td>
</tr>
<tr>
<td>Changes in the conflict of interest status for approved semen</td>
<td>X3</td>
<td></td>
</tr>
<tr>
<td>centres/embryo teams/bee teams.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scheduled livestock exports</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

1 Written notification to the Exports Group must be within 24 hours of this event.
2 Written notification to the Exports Group must be within five working days of this event.
3 Written notification to the Exports Group must be within ten working days of this event.
3.17.2 The event report must contain the following information:
   a. name of organisation
   b. description of the event and implications
   c. action(s) taken
   d. recognised agency’s recommendation to MAFBNZ.

3.17.3 Quarterly reports must be submitted to the Exports Group by the dates as stated in Table 3.2.

### Table 3.2: Quarterly reporting dates

<table>
<thead>
<tr>
<th>Quarterly report covering</th>
<th>Due date (the last working day)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul/Aug/Sept</td>
<td>October</td>
</tr>
<tr>
<td>Oct/Nov/Dec</td>
<td>January</td>
</tr>
<tr>
<td>Jan/Feb/Mar</td>
<td>April</td>
</tr>
<tr>
<td>April/May/Jun</td>
<td>July</td>
</tr>
</tbody>
</table>

3.17.4 Prior to any significant change to the recognised agencies systems or procedures the technical manager must notify the Exports Group.

3.17.5 The Exports Group reserves the right to audit such significant changes.

### 3.18 Records

3.18.1 A recognised agency must keep a record of all supporting documentation for exported live animals and germplasm. In addition, the following records must be kept:
   a. eligibility documents
   b. competency/skills assessments of its recognised persons
   c. audit reports and audit checklists
   d. non-compliances found during internal/external audits of the recognised agency and the associated corrective actions
   e. facility approvals
   f. disputes and appeals
   g. service contracts.

3.18.2 Records must be:
   a. retrievable as hard or electronic copy for a period of seven years
   b. a faithful and legible copy of the supporting documentation, where the original is not kept
   c. uniquely identified, dated and traceable to the recognised person undertaking the certification activity.

3.18.3 Audit records must include the following information:
   a. animal/germplasm type(s)
   b. audit location
   c. entity staff assessed
d. audit scope

e. any non-compliances and their classifications

f. agreed corrective actions and their implementation dates

g. future audit status and frequency.

3.18.4 All records must be provided to the Exports Group upon request.

3.18.5 All audit records must be provided to the Exports Group upon termination of the recognised agency’s services on the agreed date of termination.

3.19 Audit requirements

3.19.1 The recognised agency must be audited by the chosen accreditation body at least once every 12 months. MAFBNZ may nominate a person to be either part of the audit team or an observer.

3.19.2 MAFBNZ may elect to carry out audits independently from those of the chosen accreditation body.

Costs associated with audits of the recognised agency are the responsibility of that agency. MAFBNZ costs will be charged to the agency in accordance with charges current at the time of audit. The fees and direct charges are set by regulation and are subject to change. This information is available on the NZFSA and MAFBNZ websites.
Part 4  Requirements for recognised persons

This document sets out the requirements for persons recognised to perform functions supporting the issuance of official assurances for the export of live animals and germplasm. Recognised persons are recognised under section 101 of the APA. The requirements for recognised persons are established and administered by the Exports Group.

4.1  Requirements to be a recognised person

4.1.1 Persons who carry out functions that support the ability of an authorised person to issue an official assurance must be ‘recognised’ under the Act.

This recognition allows MAFBNZ to ensure the quality of services provided to support the issuing of an official assurance. See section 4.9 for functions for which a person may be recognised.

4.1.2 A recognised person must operate under a recognised agency. A recognised person must only perform functions for which he/she is approved. These must be within the scope of the recognised agency’s approved functions.

4.1.3 A recognised person may perform certain functions under the management of one or more recognised agencies.

4.1.4 Recognition to carry out a function while contracted or employed by one recognised agency does not automatically allow the person to perform that same function while contracted or employed by another agency. Separate recognition must be sought for each recognised agency the person is contracted to or employed by.

4.1.5 Recognised persons must comply with the requirements of the Act, associated regulations, notices, and directions, and this OAP, relevant to their functions and activities.

4.1.6 Recognised persons must maintain impartiality and independence in carrying out the functions for which they are recognised. Recognised persons must ensure that any conflicts of interest are identified, disclosed and managed to the satisfaction of MAFBNZ. The recognised agency and the technical manager of the recognised agency must assist in the resolution of this situation.

4.1.7 All information obtained by a recognised person in the course of their duties when acting on behalf of MAFBNZ shall:
   a. be managed in accordance with the Privacy Act 1993
   b. be made available to MAFBNZ when requested
   c. not be released to a third party without prior approval from the Exports Group.

4.1.8 For a person to be recognised, the Exports Group must be satisfied that the person is suitable, and will consider the:
   a. relevant competencies and resources of the applicant to reliably meet and maintain the specified functions and activities
   b. reputation of the applicant
   c. ability of the applicant to remain impartial when carrying out their functions
   d. requirements of any regulations or specifications made under the Act.
4.1.9 The applicant must meet all other technical requirements as prescribed by MAFBNZ for the functions for which they are seeking approval.

4.2 Application to become a recognised person

4.2.1 A person applying to become recognised or a recognised person wishing to change his/her current recognition must apply to the Exports Group through the recognised agency, using the application form in Appendix I, and pay the required fee and any related direct charges.

The fees and direct charges are set by regulation and are subject to change. This information is available on the MAFBNZ website.

4.2.2 The Director-General may treat any person within NZFSA as a recognised person without application having to be made.

4.3 Amendments to the functions of a recognised person

4.3.1 A recognised person must apply to change the functions for which they are recognised, using the application form in Appendix I. An application fee must accompany the form.

4.4 Refusal to grant recognition as a recognised person

4.4.1 Where the Director General proposes to refuse to grant recognition, the applicant must be notified, through the relevant recognised agency, of that intention, together with reasons (see section 104 of the Act).

The Act makes provision for review processes and these are detailed in section 162 of the Act.

4.5 Retention of status of a recognised person

4.5.1 The recognised person retains his/her recognition on the basis of:
   a. submission of the completed application form in Appendix I to the Exports Group
   b. full payment of all fees and any direct charges as prescribed by MAFBNZ within agreed time-frames.

4.6 Suspension of status as a recognised person

4.6.1 Recognition of a person can be suspended by the Director-General, in full or part, for a specified period not exceeding three months, where she/he has reasonable grounds to believe that the performance of the person is unsatisfactory, having regard to the requirements of the position. Reasonable grounds would be established where, for example:
   a. an assessment by MAFBNZ or its representatives identifies significant non-compliance findings that confirm that the recognised person is either not in compliance with the Act or is not operating in accordance with approved procedures
   b. agreed corrective actions for significant non-compliance findings have not been implemented by the recognised person within the agreed timeframes.
c. the recognised person fails to make full payment of fees to MAFBNZ as required under the Act, unless in dispute
d. it is requested by the recognised person.

4.6.2 While suspended, the recognised person must not perform any functions on behalf of MAFBNZ for which they are suspended.

4.7 Surrender of status as a recognised person

4.7.1 Following the surrender of status by the recognised person, he/she must return their notice of recognition to MAFBNZ (see section 110 of the Act) and must no longer perform any functions on behalf of MAFBNZ.

A recognised person may surrender his/her status at any time by giving notice to MAFBNZ in writing. Such surrender will normally take effect three months from the receipt of notice by MAFBNZ.

4.8 Withdrawal of status as a recognised person

4.8.1 Recognition of a recognised person may be withdrawn if the person no longer meets the requirements for recognition, has failed to comply with any term or condition of recognition, has contravened the Act or if they fail to pay the retention fees. Where MAFBNZ considers it appropriate to remove recognition, MAFBNZ must notify the recognised person in writing and give him/her a reasonable opportunity to be heard (see section 109 of the Act).

4.8.2 Where recognition is withdrawn, the recognised person must return the notice of recognition to the Exports Group within 20 working days of the date of withdrawal and must not perform any further functions as a recognised person.

MAFBNZ maintains a list of all recognised persons and the functions for which they are recognised. The purposes of this list are:
- to enable members of the public to know where to locate a recognised person having the required functions
- to facilitate audit functions by MAFBNZ.
This list is available on the MAFBNZ website.

4.9 Functions for which persons may be recognised

4.9.1 For the purpose of providing an official assurance for live animals and germplasm, a person must be recognised to carry out the following functions, as appropriate:
a. issuing eligibility documents for live animals (excluding bees) and germplasm
b. issuing eligibility documents for bees and broodcomb
c. auditing semen centres and embryo teams and recommending their approval
d. auditing bee teams and recommending their approval
e. approving pre-export isolation facilities
f. auditing continuously approved pre-export isolation facilities and recommending their approval
g. approving consignment plans
h. such other functions as may be decided by the Exports Group.
4.9.2 Persons may be recognised for one or more functions but any recognised person must only carry out those functions for which he/she is recognised.

4.10 General competencies

4.10.1 Any person applying to be recognised for any of the functions in 5.9.1 above must:

a. demonstrate sound understanding of:
   i. the Act and any associated regulations, notices, and directions, relevant to the person’s function(s)
   ii. this OAP and its objectives
   iii. the Veterinary Council of New Zealand Code of Professional Conduct for Veterinarians

   Although this Code is issued primarily for veterinarians, it provides a standard to be followed by any person recognised for providing attestation(s) that the export requirements have been met.

   iv. the OIE Code
   v. the IETS Manual
   vi. EU Directives/Decisions/Regulations, as appropriate
   vii. the MAFBNZ conflict of interest policy

b. Provide evidence of the relevant competencies (see section 4.11-4.17).

4.11 Competencies for issuing eligibility documents (except for bees and broodcomb)

4.11.1 In addition to meeting the requirements of clause 4.10.1, a recognised person issuing eligibility documents for all animal species (excluding bees) and germplasm must:

a. be a veterinarian registered with the Veterinary Council of New Zealand

b. hold an annual practising certificate as required under Part I of the Veterinarians Act 2005 entitling a veterinarian to practise in New Zealand

c. demonstrate sound knowledge of the infrastructure and operational norms of the live animal and germplasm export industry and have prepared two or more eligibility documents under the direct supervision of a recognised person. The supervising recognised person must be recognised for the function of issuing eligibility documents (except for bees and broodcomb).

4.12 Competencies for issuing eligibility documents for bees and broodcomb

4.12.1 In addition to meeting the requirements of clause 4.10.1, a recognised person issuing eligibility documents for bees and broodcomb must:

a. have met the competency requirements, level 1, for an authorised person under the National American Foulbrood Pest Management Strategy, or undergone a training programme in apiculture, which is accepted by the Exports Group as being equivalent

b. demonstrate sound knowledge of the infrastructure and operational norms of the bee and broodcomb export industry and have prepared two or more eligibility documents under the direct supervision of a recognised person. The supervising recognised person must be recognised for the function of issuing eligibility documents for bees and broodcomb.
4.13 Competencies for auditing semen centres and embryo teams and recommending their approval

4.13.1 In addition to meeting the requirements of clause 4.10.1, a recognised person auditing semen centres and embryo teams and recommending their approval must:
   a. be a veterinarian registered with the Veterinary Council of New Zealand
   b. hold an annual practising certificate as required under Part I of the Veterinarians Act 2005 entitling a veterinarian to practise in New Zealand
   c. demonstrate sound knowledge of the infrastructure and operational norms of the germplasm export industry
   d. have achieved a qualification in quality systems auditing granted by an organisation accredited by JAS-ANZ, IANZ, or any other accreditation body recognised by JAS-ANZ or IANZ for the purpose of certifying auditors in accordance with international norms, or have attended a NZQA audit course or obtained an NZQA unit standard in auditing at level six or above. If the quality system audit qualification was completed more than three years previously, be able to demonstrate an ongoing involvement in performing audits over the intervening years or must complete re-qualification
   e. have carried out two or more audits under the direct supervision of a recognised person. The supervising recognised person must be recognised for the function of auditing semen centres and embryo teams and recommending their approval
   f. must be competent in performing audits.

4.14 Competencies for auditing bee teams and recommending their approval

4.14.1 In addition to meeting the requirements of clause 4.10.1, a recognised person auditing bee teams, and recommending their approval must:
   a. have met the competency requirements, level 1, as an authorised person under the National American Foulbrood Pest Management Strategy, or undergone a training programme in apiculture, which is accepted by the Exports Group as being equivalent
   b. demonstrate sound knowledge of the infrastructure and operational norms of the bee and broodcomb export industry
   c. have achieved a qualification in quality systems auditing granted by an organisation accredited by JAS-ANZ, IANZ, or any other accreditation body recognised by JAS-ANZ or IANZ for the purpose of certifying auditors in accordance with international norms, or have attended a NZQA audit course or obtained an NZQA unit standard in auditing at level six or above. If the quality system audit qualification was completed more than three years previously, be able to demonstrate an ongoing involvement in performing audits over the intervening years or must complete re-qualification
   d. have carried out two or more audits under the direct supervision of a recognised person. The supervising recognised person must be recognised for the function of auditing bee teams and recommending their approval
   e. must be competent in performing audits.

4.15 Competencies for approving pre-export isolation facilities

4.15.1 In addition to meeting the requirements of clause 4.10.1, a recognised person approving pre-export isolation facilities must:
   a. be a veterinarian registered with the Veterinary Council of New Zealand
b. hold an annual practising certificate as required under Part I of the Veterinarians Act 2005 entitling a veterinarian to practise in New Zealand
c. demonstrate sound knowledge of the infrastructure and operational norms of the live animal export industry.

4.16 Competencies for auditing continuously approved pre-export isolation facilities and recommending their approval

4.16.1 In addition to meeting the requirements of clause 4.10.1, a recognised person auditing continuously approved pre-export isolation facilities and recommending their approval must:

a. be a veterinarian registered with the Veterinary Council of New Zealand
b. hold an annual practising certificate as required under Part I of the Veterinarians Act 2005 entitling a veterinarian to practise in New Zealand
c. demonstrate sound knowledge of the infrastructure and operational norms of the live animal export industry
d. have achieved a qualification in quality systems auditing granted by an organisation accredited by JAS-ANZ, IANZ, or any other accreditation body recognised by JAS-ANZ or IANZ for the purpose of certifying auditors in accordance with international norms, or have attended a NZQA audit course or obtained an NZQA unit standard in auditing at level six or above. If the quality system audit qualification was completed more than three years previously, be able to demonstrate an ongoing involvement in performing audits over the intervening years or must complete re-qualification
e. have carried out two or more audits under the direct supervision of a recognised person. The supervising recognised person must be recognised for the function of auditing pre-export isolation facilities and recommending their approval
f. must be competent in performing audits.

4.17 Competencies for approving consignment plans for export of large consignments of livestock

4.17.1 In addition to meeting the requirements of clause 4.10.1, a recognised person approving consignment plans for export of large consignments of livestock must:

a. be a veterinarian registered with the Veterinary Council of New Zealand
b. hold an annual practising certificate as required under Part I of the Veterinarians Act 2005 entitling a veterinarian to practise in New Zealand
c. demonstrate sound knowledge of the infrastructure and operational norms of the livestock export industry
d. have carried out two or more consignment plan approvals under the direct supervision of a recognised person. The supervising recognised person must be recognised for the function of approving consignment plans.

4.18 Activities carried out by non-recognised persons

4.18.1 Under the following conditions, non-recognised persons may carry out activities other than the specific functions for which only the recognised person is approved:

a. the export requirements allow for this
b. the recognised person remains responsible for the activities undertaken, and must ensure that the person has the relevant training to undertake the activity
c. a declaration (see Appendix I) or supporting documentation must be obtained confirming that the activities have been carried out.

| Such activities include, but are not limited to, identification, sampling, testing, treatment and examination. The non-recognised persons may be registered veterinarians, animal technicians, apiarists, etc., and may or may not be employed by a recognised agency. |

4.19  Reporting

4.19.1 Where in the course of performing his/her function(s), a recognised person detects any non-compliance with any relevant requirement of the Act and this OAP, which he/she considers will jeopardise overseas market access or threaten the integrity of the provision of official assurances, he/she must report this in writing within 24 hours to the technical manager of the recognised agency.
Part 5  Requirements for certification

Official assurances are issued based on eligibility documents/germplasm declarations/bee declarations, and/or supporting documentation. Eligibility documents are copies of export certificate templates with relevant sections completed, issued by a recognised person to an authorised person. Germplasm/bee declarations are copies of export certificate templates with relevant sections completed, issued by an approved centre veterinarian, team veterinarian, or bee team to an authorised person. Germplasm/bee declarations are subject to random verification by a recognised person. Although germplasm declarations will be the norm for approved centre/team veterinarians, the pathway of issuing eligibility documents by a recognised person should be used where the centre/team veterinarian has a conflict of interest that cannot be adequately managed. See the MAFBNZ conflict of interest policy on the MAFBNZ website.

5.1  Eligibility documents

The eligibility document confirms information supporting the eligibility for export of any live animal or animal germplasm that requires an official assurance. Eligibility documents are issued based on first-hand knowledge and/or supporting documents, which provide information supporting the eligibility for export of live animals or animal germplasm.

5.1.1 Eligibility documents must be issued only by recognised persons, unless otherwise required by the export requirements.

5.1.2 Any recognised person issuing eligibility documents must:
   a. have a thorough understanding of the export requirements applicable to the commodity being exported
   b. have first-hand knowledge of the information they are providing and/or be assured that any supporting documentation is true and accurate
   c. be assured that the person signing the supporting documentation has the requisite first-hand knowledge of the information they are providing and is in a position to provide the supporting documentation accurately
   d. ensure that livestock can be traced back to the farm of origin and maintain a record of this
   e. be assured that the person signing the supporting documentation understands the export requirement(s) for which they are providing information and the consequences of providing incorrect information.

The recognised person may at his/her discretion verify any supporting documentation provided.

5.1.3 Eligibility documents must not be issued if the details on the document are incomplete, inaccurate or not in accordance with the export requirements.

5.1.4 Where the recognised person is unable to certify any requirements in the eligibility document, these requirements must be crossed out.

5.1.5 When preparing an eligibility document the recognised person must:
   a. record the exporter’s registration identification on the eligibility document, or state that they are exempt
   b. in the case of germplasm, record the semen centre’s/embryo team’s approval number on the eligibility document. Where germplasm has been moved
between approved semen centres and embryo teams, a complete trail of
supporting documentation is required of the approval number(s) and function(s)
for each approved semen centre/embryo team

c. delete all uncompleted tasks and notify the authorised person accordingly in
writing
d. ensure that there is no overlap of the contents of the eligibility document and
any letter-head or other printing
e. void any spaces in the eligibility document into which unauthorised information
could be added
f. ensure that dates are in the form of dd/month/yyyy, e.g. 17 Dec 2008. For the
month the abbreviated or full word may be used
g. ensure that only the actual date of signing is entered.

5.1.6 When corrections to eligibility documents are made, the recognised person must
adhere to the following:
a. corrections are made by hand with the original wording struck out such that it
remains legible
b. corrections are applied as closely as practicable to the incorrect entry
c. the full signature of the signatory to the document and the date of correction
must be applied to the correction as closely as practicable
d. no more than four corrections per document are made
e. each error is only corrected once.

Certain countries prohibit any corrections being made in the eligibility document, e.g. China.

5.1.7 Where any of clause 5.1.6 is unable to be complied with, or where the corrections
result in the document becoming unclear, a replacement eligibility document must be
issued.

5.1.8 The recognised person must keep a copy of the documentation to support the
replacement of the eligibility document.

5.1.9 A draft electronic version of the eligibility document may be sent to the authorised
person to aid in the preparation of the official assurance. Prior to issuing the official
assurance, the original, signed eligibility document must be available to the authorised
person. Where the original signed eligibility document cannot be made available, and
a faithful and legible copy has been provided instead, the original signed eligibility
document must be sent to the authorised person within five working days of signing
the official assurance.

5.1.10 In the event of any differences between the draft electronic version and the signed
eligibility document, a cover page must detail these differences.

5.1.11 The authorised person is responsible for rectifying any differences between the draft
electronic version and the signed eligibility document.

5.1.12 The signed eligibility document is to be kept with the authorised person’s copy of the
official assurance.

5.1.13 An eligibility document must not be sent to the importing country, except where it is
specifically requested that it accompanies the official assurance.
5.2 Management of non-compliance of eligibility documents

5.2.1 Any non-compliance detected in a signed eligibility document must be notified to the recognised agency’s technical manager who must institute and document a corrective action.

5.2.2 Any non-compliance detected that jeopardises overseas market access or threatens the integrity of the OAP, must be reported immediately, and within 24 hours in writing, to the Exports Group.

5.3 Germplasm declarations

For export of germplasm, the approved centre/team veterinarian will generate a germplasm declaration. Germplasm declarations are copies of export certificate templates with relevant sections completed, issued by an approved centre/team veterinarian to an authorised person. The germplasm declaration confirms information supporting the eligibility for export of any germplasm that requires an official assurance. Germplasm declarations are issued based on supporting documents, which provide information supporting the eligibility for export of germplasm. The pathway of issuing eligibility documents by a recognised person should be used where the centre/team veterinarian has a conflict of interest that cannot be adequately managed. See the MAFBNZ conflict of interest policy on the MAFBNZ website.

5.3.1 A germplasm declaration must be produced by the approved centre/team veterinarian.

5.3.2 Any approved centre/team veterinarian issuing germplasm declarations must:
   a. have a thorough understanding of the export requirements applicable to the commodity being exported
   b. have first-hand knowledge of the information they are providing and/or be assured that any supporting documentation is true and accurate
   c. be assured that the person signing the supporting documentation has the requisite first-hand knowledge of the information they are providing and is in a position to provide the supporting documentation accurately
   d. be assured that the person signing the supporting documentation understands the export requirement(s) for which they are providing information and the consequences of providing incorrect information.

The centre/team veterinarian may at his/her discretion verify any supporting documentation provided.

5.3.3 Germplasm declarations must not be issued if the details on the declaration are incomplete, inaccurate or not in accordance with the export requirements.

5.3.4 When preparing a germplasm declaration the centre/team veterinarian must:
   a. record the exporter’s registration identification on the germplasm declaration, or state that they are exempt
   b. record the semen centre’s/embryo team’s approval number on the germplasm declaration. Where germplasm has been moved between approved semen centres and embryo teams, a complete trail of supporting documentation is required of the approval number(s) and function(s) for each approved semen centre/embryo team
   c. delete all uncompleted tasks and notify the authorised person accordingly in writing
d. ensure that there is no overlap of the contents of the germplasm declaration and any letter-head or other printing

e. void any spaces in the germplasm declaration into which unauthorised information could be added, i.e. ruled off using a diagonal line

f. ensure that dates are in the form of dd/month/yyyy, e.g. 17 Dec 2008. For the month the abbreviated or full word may be used.
g. ensure that only the actual date of signing is entered.

5.3.5 When corrections to germplasm declarations are made, the centre/team veterinarian must adhere to the following:
a. corrections are made by hand and struck out so that the original wording remains legible
b. corrections are applied as closely as practicable to the incorrect entry
c. the full signature of the signatory to the document and the date of correction must be applied to the correction as closely as practicable
d. no more than four corrections per document are made
e. each error is only corrected once.

5.3.6 Where any of the above in clause 5.3.5 is unable to be complied with, or where the corrections result in the document becoming unclear, a replacement germplasm declaration must be issued.

5.3.7 The centre/team veterinarian must keep a copy of the documentation to support the replacement of the germplasm declaration.

5.3.8 A draft electronic version of the germplasm declaration may be sent to the authorised person to aid in the preparation of the official assurance. Prior to issuing the official assurance, the original, signed germplasm declaration must be available to the authorised person. Where the original signed germplasm declaration cannot be made available, and a faithful and legible copy has been provided instead, the original signed germplasm declaration must be sent to the authorised person within five working days of signing the official assurance.

5.3.9 In the event of any differences between the electronic version and the signed germplasm declaration, a cover page must detail these differences.

5.3.10 The authorised person is responsible for rectifying any differences between the electronic version and the signed germplasm declaration.

5.3.11 The signed germplasm declaration is to be kept with the authorised person’s copy of the official assurance.

5.3.12 A germplasm declaration must not be sent to the importing country except where it is specifically requested that it accompanies the official assurance.

5.4 Verification of germplasm declarations by recognised persons

5.4.1 At the time of export, a copy of the original signed germplasm declaration must also be provided to the recognised agency’s technical manager, who will forward it to the appropriate recognised person(s).

The appropriate recognised person(s) is the person who conducts the auditing of the semen centre/embryo team.
5.4.2  Retrospectively, the recognised person must randomly choose and verify at least 1 germplasm declaration each quarter, in accordance with Table 5.1.

Table 5.1. Verification frequency of germplasm declarations

<table>
<thead>
<tr>
<th>Number of germplasm declarations issued per quarter</th>
<th>Number of germplasm declarations to be verified</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-15</td>
<td>At least 1</td>
</tr>
<tr>
<td>16+</td>
<td>10% (rounding up to be practised)</td>
</tr>
</tbody>
</table>

5.4.3  The recognised person must verify, based on his/her first-hand knowledge of the semen centre/embryo team, that the germplasm declarations, which have been selected as above, have been raised correctly.

This verification is not intended to duplicate the process carried out by the authorised person issuing the official assurance, neither to duplicate the auditing process associated with the semen centre/embryo team approval which is carried out by the recognised person.

5.4.4  In addition to the requirements above, the recognised person may at his/her discretion, at any time, verify any supporting documentation.

5.5  Management of non-compliance of germplasm declarations

5.5.1  Any non-compliance detected in a signed germplasm declaration must be notified to the centre/team veterinarian involved who must institute and document a corrective action, and report this to the recognised agency’s technical manager.

5.5.2  Any non-compliance detected that jeopardises overseas market access, or threatens the integrity of the official assurance system, must be reported immediately to the Exports Group by the recognised or authorised person, as appropriate to the event.

5.5.3  The Exports Group reserves the right to increase the verification frequency of germplasm declarations for the centre/team involved.

5.6  Verification of germplasm identification

5.6.1  An authorised person may, at any time, verify the identification and labelling of germplasm in tanks for conformity with the information on the eligibility document/germplasm declaration. To do so the following must be met:
   a. the authorised person is competent in handling frozen and fresh germplasm
   b. due care is taken to ensure that the quality and viability of the germplasm is not compromised
   c. appropriate facilities, equipment and protective clothing are used
   d. the exporter has been notified that the consignment will be verified so that he/she or a representative can be present.

5.7  Bee declarations
For export of bees, the approved bee team will generate a bee declaration. Bee declarations are copies of export certificate templates with relevant sections completed, issued by an approved centre to an authorised person. The bee declaration confirms information supporting the eligibility for export of any bees that require an official assurance. Bee declarations are issued based on supporting documents, which provide information supporting the eligibility for export of bees and broodcomb.

5.7.1 A bee declaration must be produced by the approved bee team.

5.7.2 Any approved bee team issuing bee declarations must:
   a. have a thorough understanding of the export requirements applicable to the bees being exported
   b. have first-hand knowledge of the information they are providing and/or be assured that any supporting documentation is true and accurate
   c. be assured that the person signing the supporting documentation has the requisite first-hand knowledge of the information they are providing and is in a position to provide the supporting documentation accurately
   d. be assured that the person signing the supporting documentation understands the export requirement(s) for which they are providing information and the consequences of providing incorrect information.

The bee team may at their discretion verify any supporting documentation provided.

5.7.3 Bee declarations must not be issued if the details on the declaration are incomplete, inaccurate or not in accordance with the export requirements.

5.7.4 When preparing a bee declaration the bee team must:
   a. record the exporter’s registration identification on the bee declaration, or state that they are exempt
   b. record the bee team approval number on the bee declaration
   c. delete all uncompleted tasks and notify the authorised person accordingly in writing
   d. ensure that there is no overlap of the contents of the bee declaration and any letter-head or other printing
   e. void any spaces in the bee declaration into which unauthorised information could be added
   f. ensure that dates are in the form of dd/month/yyyy, e.g. 17 Dec 2008. For the month the abbreviated or full word may be used.
   g. ensure that only the actual date of signing is entered.

5.7.5 When corrections to bee declarations are made, the bee team must adhere to the following:
   a. corrections are made by hand and struck out so that the original wording remains legible
   b. corrections are applied as closely as practicable to the incorrect entry
   c. the full signature of the signatory to the document and the date of correction must be applied to the correction as closely as practicable
   d. no more than four corrections per document are made
   e. each error is only corrected once.
5.7.6 Where any of clause 5.7.5 is unable to be complied with, or where the corrections result in the document becoming unclear, a replacement bee declaration must be issued.

5.7.7 The bee team must keep a copy of the documentation to support the replacement of the bee declaration.

5.7.8 A draft electronic version of the bee declaration may be sent to the authorised person to aid in the preparation of the official assurance. Prior to issuing the official assurance, the original, signed bee declaration must be available to the authorised person. Where the original signed bee declaration cannot be made available, and a faithful and legible copy has been provided instead, the original signed bee declaration must be sent to the authorised person within five working days of signing the official assurance.

5.7.9 In the event of any differences between the electronic version and the signed bee declaration, a cover page must detail these differences.

5.7.10 The authorised person is responsible for rectifying any differences between the electronic version and the signed bee declaration.

5.7.11 The signed bee declaration is to be kept with the authorised person’s copy of the official assurance.

5.7.12 A bee declaration must not be sent to the importing country except where it is specifically requested that it accompanies the official assurance.

5.8 Verification of bee declarations by recognised persons

5.8.1 At the time of export a copy of the original signed bee declaration must also be provided to the recognised agency’s technical manager, who will forward it to the appropriate recognised person(s).

The appropriate recognised person(s) is the one who conducts the auditing of the bee team.

5.8.2 Retrospectively, the recognised person must randomly choose and verify at least one bee declaration each quarter, in accordance with Table 5.2.

**Table 5.2. Verification frequency of bee declarations**

<table>
<thead>
<tr>
<th>Number of bee declarations issued per quarter</th>
<th>Number of bee declarations to be verified</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-15</td>
<td>At least 1</td>
</tr>
<tr>
<td>16+</td>
<td>10% (rounding up to be practised)</td>
</tr>
</tbody>
</table>

5.8.3 The recognised person must verify, based on his/her first-hand knowledge of the centre, that the bee declarations, which have been selected as above, have been raised correctly.
5.8.4 In addition to the requirements above, the recognised person may at his/her discretion, at any time, verify any supporting documentation.

5.9 Management of non-compliance of bee declarations

5.9.1 Any non-compliance detected in a signed bee declaration must be notified to the centre involved which must institute and document a corrective action, and report this to the recognised agency’s technical manager.

5.9.2 Any non-compliance detected that jeopardises overseas market access, or threatens the integrity of the official assurance system, must be reported immediately to the Exports Group by the recognised or authorised person, as appropriate to the event.

5.9.3 The Exports Group reserves the right to increase the verification frequency of bee declarations for that bee team.

5.10 Supporting documentation

Supporting documentation refers to documents that provide information to support the eligibility for export of any live animal or germplasm which requires an official assurance.

5.10.1 Any person providing supporting documentation must:
   a. have the requisite first-hand knowledge of the information he/she is providing
   b. ensure that the supporting documentation is true and accurate
   c. be aware of the consequences of providing incorrect information.

Section 127 of the APA deals with offences involving deception (see clause 1.3.8).

5.10.2 Originals or legible copies of any supporting documentation must be kept by the recognised person or centre/team veterinarian/bee team issuing the eligibility document or germplasm declaration or bee declaration, respectively.

Supporting documentation includes (but is not limited to):
- laboratory reports
- declarations from owners/breeders regarding animal residency and contact with other animals
- declarations from registered veterinarians or technicians,
- declarations from transporters (e.g. truck drivers, pilots, ship masters) regarding disinfection of transport, routes taken to ports and contact with other animals.

5.10.3 All declarations (excluding laboratory reports) used as supporting documentation must contain the following statements:
   a. the information that I have provided is true, correct and complete in every particular
   b. I have checked the identification of the animal(s), for which I am providing this declaration and it is as specified in this declaration
c. I am aware that this declaration is made for the purposes of supporting export certification under the Animal Products Act 1999.
d. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

5.10.4 Signing and dating of the declaration must be done underneath all the information and statements in the declaration, to signify that the declarer attests to all the information in the declaration.

Appendix I provides templates for a general declaration and a transport declaration.

5.11 Security paper

Official assurances of live animals and animal germplasm comprise two components:
- the security paper on which the assurance is printed
- the template of the export certificate.

The NZFSA VA bulk store supplies security paper to NZFSA VA operating locations on request of an authorised person at those operating locations. Authorised persons are automatically permitted to order security paper from the NZFSA VA bulk store.

Security paper must be used only for printing export certificate templates that are intended to be issued as official assurances in accordance with this OAP.

Certain countries may require copies of export certificate templates printed on security paper. The provision of these is at the discretion and under the direction of the Exports Group.

5.11.2 All security paper must be kept in a secure facility.

5.11.3 NZFSA VA must maintain, at the bulk store, an inventory that accounts for, and records, each sheet of security paper.

5.11.4 Records at the bulk store must be kept for seven years and show the following:
   a. the date the security paper was received in the controlled store
   b. the number of the sheets received, including the number of sheets of ‘first page’ and ‘subsequent page’
   c. the serial numbers of ‘first page’ sheets received
   d. the order number ex printer
   e. the date of despatch to and location of the NZFSA VA operating location
   f. the name of the authorised person making the request for supplies
   g. the method of despatch and relevant reference numbers, e.g. courier docket
   h. the quantity despatched
   i. serial numbers of the sheets despatched
   j. serial numbers of wasted or damaged sheets
   k. balance of the inventory
   l. reconciliation between the number and serial numbers of despatched sheets and those received by the NZFSA VA operating location.
5.11.5 The NZFSA VA person at the bulk store responsible for the security paper must destroy wasted or damaged sheets.

5.11.6 NZFSA VA operating locations must notify to the NZFSA VA bulk store the date, number, and serial numbers of the sheets received.

5.11.7 Records at each NZFSA VA operating location must be kept for seven years and show the following:
   a. the date the security paper was received at the location
   b. the number of the sheets received, including the number of sheets of ‘first page’ and ‘subsequent page’
   c. the serial numbers of ‘first page’ sheets received
   d. serial numbers of the sheets received
   e. for each official assurance issued the certificate number of the ‘first page’ and the total number of ‘subsequent pages’ used
   f. serial numbers of wasted or damaged sheets
   g. balance of the inventory.

5.11.8 Each NZFSA VA operating location must nominate and record an authorised person who is responsible for the procedures of controlling and managing security paper. Where administrative staff prepare official assurances, their name(s) must be recorded as part of the procedure used by the authorised person for the control of security paper.

5.11.9 Any wasted or damaged sheets of security paper at the NZFSA VA operating location must be destroyed at that location.

5.11.10 An NZFSA VA operating location may supply security paper to another NZFSA VA operating location in an emergency situation only, using a secure and traceable method of transfer.

5.11.11 Where an NZFSA VA operating location has a sole authorised person who ceases to hold authorisation to issue official assurances, any unused security paper, as well as all records of used security paper, must be returned, using a secure and traceable method of transfer, to the NZFSA VA bulk store within five working days of cessation of authorisation. At the discretion of the NZFSA VA technical manager, the security paper may be transferred into the custody of an incoming authorised person to that operating location.

5.11.12 Exporters may hold security paper where the following conditions are met:
   a. export requirements frequently preclude consignments from being finalised during normal working hours
   b. consignments from the exporter are inspected and loaded after normal working hours
   c. the exporter must apply to the Exports Group using the application form in Appendix I to be registered with an NZFSA VA operating location
   d. a person is nominated who is responsible for the procedures of controlling and managing security paper
   e. they comply with the requirements in clauses 3.11.1 and 3.11.2 above
   f. the exporter must notify the NZFSA VA operating location of the date, number, and serial numbers of the sheets received from that operating location
   g. records are kept for seven years and show the following:
      i. the date the security paper was received by the exporter
ii. the number of the sheets received, including the number of sheets of ‘first page’ and
iii. ‘subsequent page’
iv. the serial numbers of ‘first page’ sheets received
v. serial numbers of the sheets received
vi. serial numbers of wasted or damaged sheets
vii. balance of the inventory
h. all wasted or damaged sheets of security paper are returned to the NZFSA VA operating location within five working days
i. the NZFSA VA operating location audits the security paper held by the exporter, and their records, every three months.

5.12 Security seals

A security seal represents an assurance by MAF to the importing country that the live animal(s) or germplasm contained within a cage or container that bears a security seal has not been subjected to tampering after application of the seal.

5.12.1 MAF security seals must be used on cages or containers where sealing is an export requirement.

Other seals may be used in circumstances where assurance is required that live animals in a group, or germplasm in a consignment, have remained the same, or that contact with other animals or germplasm is avoided. Examples are:

- during transport of live animals or germplasm from the property of origin to the port of departure
- during transport of animals or germplasm between properties (e.g. from property of origin to the pre-export isolation facility or from one approved germplasm centre to another)
- where assurance is required that other animals have not entered the enclosure within which animals for export have been confined.

5.12.2 The identity of the live animals(s) or germplasm must be confirmed as being identical to that noted on the eligibility document/germplasm declaration before sealing takes place. In the case of germplasm, where material should not be removed from containers following loading, the information on the eligibility documents/germplasm declarations as to the identity of the germplasm will be accepted.

5.12.3 Only one security seal must be applied to any cage or container, except where more than one seal is required to ensure effective sealing. Each seal must be used in such a way that it cannot be reused and each unique seal number must be entered on the export certificate template.

5.12.4 Additional, spare security seals must not accompany a consignment.

5.12.5 Breaking and replacing the original seal prior to export must be done only for valid reasons. Under such circumstances, the cage or container must be resealed with a new security seal only if no change in health status has occurred. If the original seal number has already been recorded on the official assurance, the broken seal number must be crossed out in such a way that the number remains legible and the new seal number written as closely as practicable to the original number. The full signature of the authorised person and the date of the correction must be applied as closely as practicable to the correction. A letter on NZFSA VA letterhead, written by an
authorised person must accompany the official assurance explaining the circumstances of resealing the cage or container.

5.12.6 An authorised person may direct a registered exporter to seal a cage in the situation where the authorised person, who will not be available at the time of loading, has inspected the consignment and signed the official assurance, but the cage cannot be sealed for animal welfare reasons.

5.12.7 Where the export requirements specify that a cage/container must be sealed by an authorised person, this function cannot be delegated.

5.12.8 NZFSA VA is responsible for administering the use of security seals by authorised persons.

5.12.9 Each NZFSA VA operating location must nominate and record an authorised person who is responsible for the procedures of controlling and managing security seals.

5.12.10 Authorised persons must keep the seals secure in a locked container and report any loss or misuse to the NZFSA VA.

5.12.11 Records of security seals must be held at each NZFSA VA operating location, be kept for seven years and show the following:
   a. the date the security seals were received at the office, the number of security seals received and their seal number
   b. for each security seal the following must be also recorded:
      i. the serial number of the seal
      ii. date used
      iii. official assurance number
      iv. the name of the authorised person applying the security seal
      v. for any security seal that is destroyed, broken or rendered unusable, the reason must be noted in the column ‘official assurance number’
   c. balance of the inventory.

5.12.12 An NZFSA VA operating location may supply security seals to another NZFSA VA operating location in an emergency situation only, using a secure and traceable method of transfer.

5.12.13 Where an NZFSA VA operating location has a sole authorised person who ceases to hold authorisation to issue official assurances, any unused security seals, as well as all records of used security seals, must be returned, using a secure and traceable method of transfer, to NZFSA VA within five working days of cessation of authorisation. At the discretion of the NZFSA VA Technical Manager the security seals may be transferred into the custody of an incoming authorised person to that operating location.

5.12.14 Exporters of fresh equine semen to Australia may hold security seals where the following conditions are met:
   a. the exporter must apply to the Exports Group, using the application form in Appendix I, to be registered with an NZFSA VA operating location
   b. a person is nominated who is responsible for the procedures of controlling and managing security seals
   c. the seals are kept secure in a locked container
   d. they comply with the requirement in clause 5.12.1 above
e. the exporter notifies the NZFSA VA operating location of the date, number, and serial numbers of the seals received from that operating location
f. records are kept for seven years and show the following:
   i. the date the security seals were received by the exporter
   ii. the number of the seals received
   iii. serial numbers of the seals received
   iv. serial numbers of wasted or damaged seals
   v. balance of the inventory
g. all wasted or damaged security seals are returned to the NZFSA VA operating location within five working days
h. the NZFSA VA operating location audits the security seals held by the exporter, and their records, every three months.

5.13 Export certificate templates
5.13.1 Authorised and recognised persons, or their nominate representatives, are automatically provided with a password to access the restricted export certificate template site on the MAFBNZ website.

5.13.2 Access to the export certificate template site is available upon application to the following persons:
a. centre/team veterinarians
b. registered exporters.

5.13.3 Persons requesting access to the export certificate template site must apply using the application form in Appendix I. Where access is granted by the Exports Group, the person will be given password access to the website export certificate templates.

5.14 Preparation of an official assurance

An export certificate template becomes an official assurance once the information is completed, printed on security paper, signed and dated by an authorised person, and stamped with that authorised person’s signatory seal.

5.14.1 Export certificate templates used for issuing an official assurance must conform to the following:
a. be current
b. be printed on MAF security paper of which:
   i. the ‘front page’ is headed with the Coat of Arms with the words ‘New Zealand Ministry of Agriculture and Forestry’ adjacent to it and carries a unique certificate number pre-printed in black ink at the top of the page
   ii. any subsequent pages are without the Coat of Arms and the words ‘New Zealand Ministry of Agriculture and Forestry’, but with a space for the certificate number to be entered
c. the certificate number on the front page of the export certificate template must be copied onto any subsequent pages in the space provided
d. all information entered on the export certificate template must be in the same typeface style. Handwriting must not be used, except where amendments are necessary

Times New Roman is the nominated default typeface.
e. all information must be entered as closely to the beginning of the allocated space as practicable, spacing lines closely and evenly and not leaving obvious gaps. Information entered must not overlap the allocated areas.

f. any spaces in the export certificate template into which unauthorised information could be added must be voided.

g. owner’s, veterinarian’s, ship master’s or aircraft captain’s declarations and copies of certificates must be printed on plain paper, and copies must be clearly marked ‘COPY’.

h. deletions or the addition of disclaimers, declarations or endorsements, must not be made to an export certificate template without the written permission of the Exports Group.

i. commercial information, such as contract numbers and bank arrangements, must not be written on an export certificate template.

Under exceptional circumstances, commercial information may be inserted on the last page below the signature and details of the authorised person and must be placed in a bordered area. The information must be placed under the heading ‘Unofficial commercial information’. Commercial information is not officially verified.

5.15 Requests for equivalence

Where an export requirement cannot be met, but a technical case can be provided to show that an equivalent outcome can be achieved for that requirement, a request for equivalence can be made (e.g. where an export certificate requires an ELISA but a CF test was carried out instead). Only the Exports Group may negotiate an equivalence with the importing country.

5.15.1 Exporters requesting equivalence must provide the relevant information to the Exports Group in accordance with clause 2.4.1.

5.15.2 Upon acceptance of the equivalence by the importing country the Exports Group shall either:

a. issue a ‘one-off’ certificate allowing the export to proceed, or

b. issue instructions allowing the authorised person to modify the export certificate template. In this case, the relevant clause must be crossed out or replaced and words “see attached equivalence” written as closely as practicable to that clause. The approval for equivalence must be attached to the official assurance.

5.15.3 Where a delay in export results in the compromise of any of the export requirements, e.g. timelines for treatments, testing or inspections, equivalence must be requested to cover the delay.

5.15.4 Where the delay in the scheduled date of export is less than five days, no equivalence is required to cover this delay. Where unforeseen circumstances perpetuate the delay this period may be extended by the Exports Group on a case-by-case basis.

5.15.5 The Exports Group must advise the exporter of the charges associated with processing the request for equivalence.

5.16 Requests for dispensation
Where an export requirement cannot be met, and grounds are insufficient for an equivalence request, a request for dispensation may be made to the Exports Group (e.g. where there is a requirement for donor bulls to be resident on a semen collection centre for 90 days prior to collection but they have only been resident for 60 days prior to collection).

5.16.1 Exporters requesting dispensation must provide the relevant information to the Exports Group in accordance with clause 2.4.1.

5.16.2 Upon acceptance of the dispensation by the importing country the Exports Group shall either:
   a. issue a ‘one-off’ certificate allowing the export to proceed, or
   b. issue instructions allowing the authorised person to modify the export certificate template. In this case, the relevant clause must be crossed out or replaced and words “see attached dispensation” written as closely as practicable to that clause. The approval for dispensation must be attached to the official assurance.

5.16.3 The Exports Group must advise the exporter of the charges associated with processing the request for dispensation.

5.16.4 The Exports Group reserves the right to reject dispensation requests on a case-by-case basis.

5.17 Issuing of an official assurance

5.17.1 An official assurance must be issued based only on evidence that satisfies the authorised person that the export requirements have been met.

5.17.2 The authorised person must ensure that the correct export certificate template is used before issuing an official assurance.

5.17.3 The authorised person must ascertain that the exporter is registered or exempt from registration prior to issuing an official assurance.

5.17.4 For export of germplasm, the authorised person must ascertain that the approval of the centre/team was current during collection, processing and storage.

The MAFBNZ website contains a list of approval dates and expiry periods for semen centres/embryo teams.

5.17.5 Where export requirements require the specific approval of an entity, the authorised person must ascertain that that the appropriate approval is in place.

Examples are germplasm centres exporting to the EU, Chile and China; bee exports to the EU; and fish exports to the EU.

5.17.6 Prior to export, an import permit (where required) must be presented to the authorised person issuing the official assurance for the consignment. In the case of day-old-chicks and hatching eggs, the import permit may be provided to the authorised person issuing the official assurance for the consignment after export. However, the import permit number must be entered on the official assurance at the time of export.
5.17.7 Where the import permit is supplied in a language other than English and includes the importing requirements, the exporter must provide a translation from an agreed translation service, at their expense.

5.17.8 Where an eligibility document/germplasm declaration/bee declaration contains an error the authorised person must not issue the official assurance until the eligibility document/germplasm declaration/bee declaration has been correctly raised by the recognised person/centre/team veterinarian/bee team.

5.17.9 Only one ‘original’ official assurance printed on security paper must be signed for each consignment. Any copies must be on plain paper and must be clearly marked ‘COPY’ on each page. See section 5.18 for situations where animals are transiting a country.

5.17.10 All pages of the official assurance and other documentation required to accompany the official assurance must be stamped with the issuing authorised person’s signatory seal, signed and dated, with the authorised person’s name and qualifications shown legibly below the signature. The ink used for the signatory seal and signature must be a different colour from the printing of the export certificate template.

5.17.11 Dates on official assurances must be in the form: dd/month/yyyy, e.g. 17 Dec 2008. For the month the abbreviated or full word may be used. A signing date other than the actual date is not permitted.

5.17.12 Where a declaration is included for signing after export, e.g. by the ship’s master/aircraft’s captain, this must not be stamped or signed by the authorised person.

5.17.13 Where a minor, single error occurs in the official assurance it may be corrected by the authorised person. In this case, the authorised person must strike out the incorrect information with a single line, so that the underlying information remains legible, and place the correct information as closely as practicable to the original entry. The correction must be signed and dated as closely as practicable to the correction and a note made of the reason for the amendment, if it is not obvious.

Certain countries prohibit any corrections being made in the official assurance, e.g. China.

5.17.14 Where a declaration or document, which forms part of, or accompanies, the official assurance, has been signed by another person, the authorised person must not change this declaration or document.

5.17.15 Where required by the export requirements, laboratory reports must be appended to the official assurance.

5.17.16 Final inspection of animals at the time of export must be undertaken where specified in the export requirements.

Final inspections will normally be carried out in conjunction with the issuing of an AWEC, where one is required. Final inspections will usually be undertaken by authorised persons (acting as recognised persons) so that the official assurance can be issued once loading is completed.
5.17.17 Any animals that are not fit to travel must be removed from the consignment prior to loading by the authorised person or recognised person, as appropriate. Where it is considered that such animals compromise the export health status of the remainder of the animals to be exported, the consignment may be postponed or cancelled.

5.17.18 Animals on stock-carrier ships must not be unloaded without the express written permission of MAFBNZ.

5.17.19 Animals on aircraft may be removed. The authorised person must assess whether off-loaded animal(s) present a biosecurity risk. If so, they must be held in isolation and immediate advice sought from the Exports Group as to their fate. The authorised person must advise the Exports Group immediately of any off-loading event.

5.17.20 Where an authorised person may not be available at the time of loading, but has inspected the consignment and signed the official assurance, the official assurance may be given to the exporter or an agent operating on his/her behalf to consolidate the consignment and the official assurance.

5.17.21 The official assurance must not be given where there is likelihood that the certified status of the animals or germplasm for export may be compromised.

5.17.22 Where an export requirement precludes a consignment being finalised prior to the official assurance being issued, the official assurance may be issued in advance. The authorised person must maintain a record of the location of the official assurance until the consignment is consolidated with the official assurance. The authorised person must inspect the consignment at consolidation to ensure that the certified status of the consignment has not changed.

An example of this is the export requirements for cattle being exported to Brazil. This requires that inspection must occur at loading of the shipment and the completed official assurance must be endorsed by the Brazilian consular office prior to the consignment being exported. These two requirements can only be met if the official assurance is issued in advance.

Once live animals or germplasm have been exported from New Zealand, it is the responsibility of the importing country to issue their export certification where the animal or germplasm is exported to another country.

5.18 Transit official assurance

Where animals transit an intermediate country en route to their final destination, an official assurance for the transit county may need to be issued. A transit official assurance certifies that they meet the transit requirements of the country through which the animals are transiting.

5.18.1 Transit official assurances are no different from any other official assurance and must comply with this OAP.

5.19 Withdrawal and re-issuance of official assurances
Section 64 of the Animal Products Act 1999 allows for official assurances to be withdrawn and reissued.

5.19.1 Official assurances can only be reissued where:
   a. the assurance was incorrectly or inappropriately given
   b. events or circumstances have occurred such that the assurance is no longer true or is misleading
   c. the official assurance is lost.

It is MAFBNZ policy to replace “defective” official assurances rather than issue supplementary/additional material or declarations. The re-issue of an official assurance is at the discretion of the Exports Group. Each request will be considered on a case-by-case basis.

5.19.2 A request for reissuing an official assurance must be made to the Exports Group prior to the animal or germplasm being released in the importing country. Reissuing an official assurance after such release may be carried out under extenuating circumstances and at the discretion of the Exports Group.

5.19.3 The procedure for reissuing an official assurance is as follows:
   a. any person notified of an error in, or a change in circumstances, or loss of, an official assurance must notify the Exports Group in writing
   b. information must be provided of:
      i. the original official assurance (when available)
      ii. the full details of the consignment
      iii. any documentation to support the reissue of the official assurance
   c. a fee may be chargeable to the responsible party.

Where an error is made by an authorised person a fee will not be chargeable to another party(s).

5.19.4 Where the Exports Group authorises the re-issue of an official assurance, the official assurance must be endorsed in the body of the assurance with the following declaration:
   “Replacement of Certificate number <<insert original certificate number>> dated <<insert date>>, which is cancelled.”
   Or
   “Replacement of Certificate number <<insert original certificate number>> dated <<insert date>>, which has been lost.”

5.19.5 A re-issued official assurance must have a new certificate number. The authorised person must record on the file copy of the original official assurance that it has been cancelled and replaced, and record the certificate number of the re-issued official assurance.

5.19.6 The cancelled original official assurance must be returned to the issuing office in New Zealand or retained by the overseas authority.

5.19.7 The authorised person must keep a copy of the documentation to support the re-issue of the official assurance with the file copy of the re-issued official assurance.

5.20 Records and statistics
5.20.1 The authorised person must keep a complete and accurate record of each certification process including a copy of the official assurance and eligibility document, or germplasm/bee declaration, and any other relevant documents pertaining to the official assurance.

5.20.2 For each consignment, the following information must be recorded:
   a. the certificate number
   b. date of issue of the official assurance
   c. name of the authorised person issuing the official assurance
   d. species of animal exported or type of germplasm, including the species
   e. number of animals/straws/eggs
   f. name of the importing country
   g. exporter registration and, where exempt, exporter name and contact details.

5.20.3 All records must be kept for a minimum of seven years.

5.20.4 NZFSA VA must compile statistics from all authorised persons using a format, and within a timeframe, agreed by the Exports Group.

5.21 Fees and charges

5.21.1 The Animal Products Act 1999 and Animal Products (Fees, Charges, and Levies) Regulations prescribe the specifics of fees and charges for the issuing of official assurances and related export activities.

These are available on the MAFBNZ website.
Part 6  Requirements for semen centres

6.1  Introduction

This Part sets out the requirements for New Zealand semen centres collecting, processing and/or storing semen for export. The requirements are equally applicable to semen collection which is carried out at a “centre” or “on-farm”. In the latter case, the “farm” needs to be approved as a “centre”. These requirements are based in part on the recommendations related to collection, processing and storage of semen in the OIE Code, and will be used when auditing semen centres. Additional requirements may be needed depending on the export requirements. This Part of the OAP does not apply to collection, processing and storage of semen for domestic use.

The purposes of official sanitary control of semen production and storage are to:

- Maintain the health of animals on a semen collection centre at a level that permits the international distribution of semen having negligible risk of infecting inseminated animals with specific pathogenic organisms that can be transmitted by semen
- Ensure that semen is collected, processed and stored in a manner that maintains its export health status, so allowing the issuing of official assurances.

6.2  Requirements for approval and registration of semen centres

6.2.1  Centres must be approved and registered by MAFBNZ for collecting, processing and storage of semen of specified species for export, and for isolation of donor animals where this is required by export requirements. An application form is in Appendix I.

Centres can be approved for collecting, processing and/or storage of semen. Centres may also elect to be approved solely for the storage of semen. In this situation, only those requirements relevant to this function must be complied with and are not species specific. In the case where export requirements require a centre to have an isolation facility, this will be part of the registration. Each approved centre will be given a registration number. The list of registered centres is a public document and is available on the MAFBNZ website. The register will record changes in registration status.

6.2.2  MAFBNZ approval of a centre will be granted where:

a. a recognised person has carried out an audit of the centre and found that it complies with Parts 5, 6 and 7 of the OAP and with the centre’s work manual
b. the centre veterinarian is approved by MAFBNZ (see sections 7.2-7.5).

6.3  Supervision of semen centres

6.3.1  A centre must be under the supervision of an approved centre veterinarian who has adequate knowledge of what is happening on the centre on a day-to-day basis, to be able to fulfil his/her requirements as a centre veterinarian, and who is able to be present on centre at reasonable notice.

Requirements for supervision are detailed in the section relating to the centre veterinarian.

6.4  Centre staff
6.4.1 The centre must have technically competent personnel who, where appropriate, are trained in the techniques for prevention of disease. Personnel must have access to, and follow the procedures laid down in the work manual appropriate to their position.

6.5 System requirements for semen centres

6.5.1 The centre must establish, document and maintain systems and procedures to ensure that only semen that meets the relevant Parts of this OAP, the export requirements, and the import permit (if required) will be presented for export. The systems and procedures must be fully described in the centre’s work manual.

6.5.2 The work manual must include sections that detail the following:
   a. the name and contact details of the centre manager and centre veterinarian(s)
   b. the name and contact details of laboratories used for disease testing required for export
   c. a comprehensive site plan showing the layout of the site, the facilities and all defined areas

The site plan should show the location of all facilities and defined areas, including each collection facility, laboratory(s), storage facility(s) and isolation facility(s), where applicable, and how the centre is separated from neighbouring properties.

d. documented procedures for:
   i. collection of semen
   ii. cleaning and disinfection as appropriate to the facility(s)
   iii. cleaning, disinfection or sterilisation of equipment, where applicable
   iv. the preparation of animals prior to collection, as appropriate for the species involved
   v. isolation of animals and how isolation is maintained, where applicable
   vi. actions to be taken in the event of a breach in isolation of animals
   vii. processing semen, including details of diluents, additives and extenders, their source and, where necessary, how they are treated to avoid animal health risks
   viii. labelling, packaging and storing semen, methods of sealing and storage, and methods of maintaining an inventory of stored semen
   ix. managing shared facilities where different species of animals, or animals of the same species but different export health status are present
   x. ensuring that appropriate laboratory submission forms are used for disease testing required for export
   xi. when approvals are surrendered/expired/cancelled and the transfer of any remaining semen, including its supporting documentation, to another centre
   xii. ensuring that, when semen is received from other centres for storage, all documentation required for determining the export eligibility of the semen, is available at the time of export
   xiii. control of visitors entering the centre
   xiv. actions to be taken in the event of an unfavourable test result
   xv. conditions for the presence of other domestic animals on the centre, and specifically areas to which these animals are not allowed access
   xvi. record keeping methods that specify what records must be kept, how, and for how long
xvii. a document control system with the locations of all officially issued copies of the manual. A suitable method must be used to identify the current version of the manual; and there must be a back-up system if it is stored electronically

xviii. how and when internal audits will be undertaken, how records of the findings are kept, and how and when any non-compliances are closed out.

6.5.3 Management of the centre must undertake annual internal audits to ensure that the centre is operating in compliance with Parts 5, 6 and 7 of the OAP, and Parts 8 and 9 for semen centres approved to store embryos. Audit reports must be named, signed and dated by the auditor.

6.5.4 Records must be kept for all matters that demonstrate compliance with this Part of the OAP, for a minimum of seven years, and include:

a. an up-to-date list of centre staff, their positions, and their relevant qualifications and training

b. visitor and vehicle entry to the centre

c. compliance with documented procedures

d. incidents (e.g. unfavourable test results) and, where applicable, the actions taken to ensure that there has not been any compromise of the export eligibility of semen

e. all supporting documentation related to the collection, processing, and storage of semen

f. details of semen storage, including dates and location, as well as an up-to-date list of semen sent to and/or received from other centres, where applicable

g. internal audit reports, all non-compliances identified and the corrective actions taken and their timing.

It is recommended that centre management uses a recognised international standard as guidance for developing the centre’s quality system.

6.5.5 Records must be kept of all animals from which semen has been collected as well as any teaser animals. These records must be available for inspection, and show at least the following information:

a. unique animal identification

b. species and breed

c. date of birth

d. country of birth and date of import, where applicable

e. owner’s name and contact details

f. date on which isolation began, where applicable

g. written permission from centre veterinarian for entry onto centre

h. date of entry onto, and departure from, the centre

i. health/disease information:

   i. details of animal examinations in accordance with the export requirements

   ii. dates(s) of sampling, and date(s) and result(s) of diagnostic test(s) in accordance with the export requirements. Laboratory reports must be available for audit

Where the exact date of birth is not known, the first day of the month should be used as the default date of birth. Horses usually have a default date of birth.
iii. details of any treatment(s) and/or vaccination(s) in accordance with the export requirements, including date(s), dose rate(s), product(s)/vaccine(s) used

iv. evidence supporting any herd/flock/farm of origin statement(s) regarding freedom from disease

j. date of last natural service, where required by export requirements

k. date(s) of semen collection and processing.

6.5.6 Records, including those of animals that have left the centre, must be retained for future reference for a minimum of seven years following export.

Where semen, collected more than seven years previously, is presented for export the appropriate records will be required to demonstrate its eligibility for export.

6.6 Facility requirements for semen centres

6.6.1 The centre must have the following facilities, as appropriate to the approval sought:

a. animal accommodation area, including an area for separation of sick animals

Animal accommodation and areas for sick animals may be paddocks; these should be defined on the site plan where they are permanent.

b. a semen collection room, or area

c. a semen processing facility (laboratory), which must be physically separated from the semen collection area

d. a storage facility, which may be part of the laboratory, but must be in a specifically defined area.

These facilities may be at different locations.

6.6.2 Centres must be so constructed that where more than one species, or animals of the same species with different export health status, are present, they are kept isolated from each other by means of species-proof fences to maintain the export health status of animals.

6.6.3 The centre must be physically separated from neighbouring properties to maintain the export health status of the centre.

6.6.4 Where a pre-entry isolation facility is associated with the centre it must be physically separated from the centre such that the export health status of the animals on the centre is maintained.

6.6.5 Feed and drinking water supplied to animals must be so derived that they do not compromise the export health status of the animals.

6.6.6 Signs must be attached to the entrance points to each facility indicating that access is restricted and non-authorised entry prohibited.

6.7 Pre-entry requirements

6.7.1 Pre-entry isolation requirements must be in accordance with the export requirements.
6.7.2 Centres must contain only animals that are tested to achieve the standard required to enter a semen centre, see section 6.9.1.

6.8 **Animals allowed on the semen centre**

6.8.1 The centre must contain only animals associated with semen collection. Different species may be held and collected in a centre providing:

a. they comply with the requirements in this Part of the OAP
b. the centre has approval to collect semen from the relevant species
c. species are kept isolated in accordance with clause 6.6.2
d. any sharing of facilities by the different species of animals, or animals of the same species with different health statuses, must be such that it does not present a risk to the export eligibility of the semen from the isolated animals.

Sheep and goats being prepared in accordance with the same export requirements may be considered to be a single species unless these requirements state otherwise. Other domestic animals may be used, where necessary, for managing donor animals. However, they should not present a disease risk to those species whose semen is to be collected.

6.9 **Movement of donor animals onto the semen centre**

6.9.1 Animals whose semen is to be collected must have been tested, with negative results, for the following diseases:

a. bovine
   i. bovine tuberculosis, in accordance with the testing programme of the National Bovine Tuberculosis Pest Management Strategy
   ii. bovine viral diarrhoea/mucosal disease (BVD/MD), using virus isolation or an antigen ELISA
   iii. bovine genital campylobacteriosis (*Campylobacter fetus* subsp. *venerealis*) and trichomonosis (*Trichomonas foetus*), using culture of a preputial washing
   iv. enzootic bovine leukosis (EBL), using a serological test
b. ovine/caprine
   i. ovine epididymitis (*Brucella ovis*), using a serological test (for sheep only)
   ii. caprine arthritis-encephalitis (CAE), using a serological test (for goats only)
c. cervine
   i. bovine tuberculosis, in accordance with the testing programme of the National Bovine Tuberculosis Pest Management Strategy.

6.9.2 Any additional tests must be carried out in accordance with the export requirements.

6.9.3 Animals are to be admitted to the centre only with the written permission of the centre veterinarian, who must ensure that the pre-entry requirements relating to those animals have been completed. Records of this must be kept.

6.10 **Routine tests of animals on the semen centre**
6.10.1 Once resident on the centre, all animals from which semen is to be collected must be tested at least every 12 months for the following diseases, with negative results:
   a. bovine
      i. bovine tuberculosis, using an intra-dermal test
      ii. bovine viral diarrhoea/mucosal disease (BVD/MD), using virus isolation, polymerase chain reaction (PCR) test, or the antigen ELISA
      iii. bovine genital campylobacteriosis (*Campylobacter fetus* subsp. *venerealis*) and trichomonosis (*Trichomonas foetus*), using culture of a preputial washing
      iv. enzootic bovine leukosis (EBL), using a serological test
   b. ovine/caprine
      i. ovine epididymitis (*Brucella ovis*), using a serological test (for sheep only)
      ii. caprine arthritis-encephalitis (CAE), using a serological test (for goats only)
   c. cervine
      i. bovine tuberculosis, using an intra-dermal test.

6.10.2 Any additional tests must be carried out in accordance with the export requirements.

6.11 Unfavourable routine test results

6.11.1 Where an unfavourable routine test result occurs:
   a. the animal concerned and any semen collected since its last favourable routine test result must be isolated pending confirmation of the test result
   b. the centre veterinarian must immediately notify the recognised person in writing who, in turn, must undertake an investigation to establish the true health status of the sampled animal
   c. in the event of a confirmed diagnosis see section 11.2.

6.12 Semen collection

6.12.1 Semen must be collected in accordance with the export requirements. In addition the following applies:
   a. collection must be carried out in a facility that has been cleaned prior to the start of each day’s collection, and disinfected at least every 12 months
   b. on the day of collection, the animal being collected from must not show any evidence of infectious disease that will compromise the integrity of the semen
   c. prior to collection, the animals involved must be prepared, as appropriate for the species involved
   d. all equipment used to collect semen must be cleaned and sterilised (in the case of artificial vaginas, they may be cleaned and disinfected) prior to use, and have methods to identify that such sterilisation has been carried out, or be disposable and discarded after use
   e. where cleaning, disinfection or sterilisation, storage, and preparation of artificial vaginas is carried out in the collection area, separation must be such that they are not subject to contamination
   f. where cleaning, disinfection or sterilisation, storage, and preparation of artificial vaginas is carried out in an area set aside for this purpose, it must be constructed so that the interior can be cleaned and disinfected.
6.13  Semen processing

The processing laboratory used by the semen centres may be permanent or mobile.

6.13.1  The requirements for the laboratory are the following:
   a. must be constructed so that the interior can be cleaned and disinfected
   b. must have work surfaces that are cleaned and disinfected before and after semen processing
   c. must be kept clean and tidy, and be protected against rodents and insects
   d. must have defined areas for the processing and evaluation of semen, and for cleaning, sterilising/disinfecting and storage of equipment and materials used in contact with the donor animals
   e. entry is prohibited for non-authorised personnel
   f. all laboratory equipment used to process semen must be sterilised prior to use, and have method(s) to identify that such sterilisation has been carried out, or be disposable and discarded after use
   g. all ancillary equipment used for semen processing must be calibrated and maintained by regular service.

6.13.2  Semen must be processed in accordance with the export requirements. In addition the following applies:
   a. any products of animal origin used in the processing of semen must be obtained from sources that do not present any animal health risk or the products must be so treated that such risk is prevented

When egg yolk is used, either commercial egg yolk prepared for human consumption or egg yolk treated by a technique such as irradiation may be used. Alternatively, eggs may be used from commercial farms that carry out routine disease monitoring.

   b. antibiotics and their concentrations added to the semen must be recorded
   c. only semen from animals of the same export status is processed at the same time
   d. each individual dose of semen must be indelibly marked in such a way that the date of collection, species, breed and identification of the donor, registration number of the facility where collected, and any other information stated in the export requirements can be established; alternatively a code, and its cipher, for the above information can be used

The International Committee for Animal Recording (ICAR), Recording Guidelines – Appendices to the international agreement of recording practices. Section 9, Appendix I, relates to semen straw identification. The text of this document is available at www.icar.org. The ICAR guidelines only apply to ruminant semen.

   e. any receptacle (including straws, shippers and tanks) used for the packaging, storage and transport of semen must be cleaned and disinfected, or sterilised, before the start of any initial filling operation, or must be new
   f. cryogenic agent must not have been used previously.

All issues relating to semen quality and fertility are issues between the semen collection centre and their customers and are not part of this OAP.

6.14  Semen storage
6.14.1 Where a centre only carries out semen storage, it must be MAFBNZ approved and comply only with the requirements applicable for semen storage in this Part of the OAP.

6.14.2 Semen storage facilities must meet the following requirements:
   a. must be constructed so that the interior can be cleaned and disinfected
   b. any receptacle (including shippers and tanks) used for storage and transport of semen must be cleaned and disinfected, or sterilised, before the start of any initial filling operation, or must be new
   c. cryogenic agent must not have been used previously
   d. storage containers must contain only semen of donors that meet at least the requirements of this part of the OAP.

6.14.3 Semen must be stored in accordance with the export requirements.

6.15 Embryo storage
6.15.1 Semen centres that elect to store embryos for export must also be MAFBNZ approved as an embryo team in accordance with the applicable sections of Parts 8 and 9 of this OAP.

6.16 Post-collection testing
6.16.1 Any post-collection testing must be undertaken in accordance with the export requirements.

6.17 Export testing
6.17.1 All laboratory testing specified in the export requirements must be carried out by a laboratory approved by MAFBNZ for requisite export testing.

The Exports Group maintains a list of approved laboratories on the MAFBNZ website along with lists of the testing procedures each laboratory is approved to undertake.

6.17.2 Centres must keep records of the date on which samples were taken for export testing.

6.18 Conditions of entry onto semen centres
6.18.1 No person is allowed to enter the centre unless authorised under conditions set by the centre veterinarian. The conditions must be made available to the visitor.

6.18.2 Authorised visitors to the centre must sign the visitors’ book, giving their name, and organisation represented (where appropriate).

6.18.3 Persons entering the centre must wear appropriate clothing and footwear, so as not to compromise the hygiene required in each facility.

6.18.4 Vehicle entry to the centre must be authorised, and comply with conditions laid down by the centre veterinarian.

6.19 Reporting requirements
6.19.1 Prior to any significant change to the centre’s approved facilities or procedures the centre manager must notify the recognised person.

Significant changes include, but are not limited to, changes to centre veterinarian(s), centre veterinarian’s conflict of interest, the site plan, the isolation requirements, and the work processes or procedures.

6.19.2 The recognised person reserves the right to audit such significant changes.

6.20 Semen centre approvals

6.20.1 An approval is valid for a maximum of 6 months, or until the approval is surrendered, or cancelled by MAFBNZ.

6.20.2 At the end of the approval period, a centre must re-apply to maintain continuous approval or their approval lapses.

6.20.3 Approvals are subject to audits.

There are special requirements related to approval for exports of embryos to the EU, The People’s Republic of China, and Chile. The listed countries are those known as of 2008. Appropriate enquiries should be made in advance to confirm the current situation.

6.21 Audits

Audits are undertaken to ensure the integrity of official assurances given to importing countries.

6.21.1 Prior to any audit, the recognised person must obtain:
   a. a list of consignments exported since the last audit, from NZFSA VA
   b. a copy of the relevant sections of the work manual, from the centre manager.

6.21.2 Each centre must be audited by a recognised person:
   a. before approval to export is given
   b. at least every 6 months thereafter
   c. within 10 working days from when a new centre veterinarian commences sole supervision of a centre. The respective cycle of regular audits will then restart from the date of that audit.

In this context, a new centre veterinarian means a veterinarian who has not previously participated in an audit of the centre concerned.

6.21.3 An approval to export must comprise two stages, which may be undertaken separately:
   a. in the first stage, the recognised person must carry out an audit of the written procedures, facilities and centre veterinarian(s). Following a successful audit, the centre will be given provisional approval status and its registration number. Collection for export cannot be undertaken at this stage.

Animals can be resident on the centre for the purposes of export testing to fulfil the export requirements during the ‘provisional’ approval status.
b. In the second stage, which must occur within three months of provisional approval, unless otherwise agreed with the Exports Group, the recognised person must assess the collection, processing and storage of semen, including mobile laboratories where used. Collection and processing must be observed for each species for which approval is sought, and may be undertaken at the collection of any semen for export or domestic use. Following this successful audit, the centre will be given full approval status.

6.21.4 Following full approval, all supporting documentation of the first two export consignments must be verified by the recognised person prior to export. In the case of a major non-compliance, all supporting documentation of the next two export consignments must be verified by the recognised person. If any non-compliance is identified in those two export consignments, the full approval status will then be withdrawn.

| The register of approved centres will note the dates of approval for each centre, so users of the register can ascertain whether semen was collected/stored during an approved period. |

Supporting documentation includes, but is not limited to the following:
- Declarations (owner/veterinarian) from the farm of origin regarding animal health status
- On-farm isolation, if applicable
- Date of entry onto centre or into on-centre isolation, if applicable
- Date of exit from centre
- Test date(s), type(s) and result(s)
- Treatment date(s) and type(s).

6.21.5 Where semen is certified by the centre veterinarian using a germplasm declaration, a copy must also be provided to the recognised person at the time of export for verification in accordance with section 5.4.

6.21.6 Audits for continuous approval must meet the following requirements:
- Be carried out at least every six months
- Be carried out within 10 working days from when a new centre veterinarian commences sole supervision of the centre. The respective cycle of regular audits will then restart from the date of that audit
- Be an audit of the centre and centre veterinarian based on Parts 6 and 7 of the OAP, the centre’s own work manual as well as all the supporting documentation of two export consignments

Where eligibility documents for the export consignments have been raised by the recognised person, these are not subject to additional audit.

- Include an audit of collection and processing of semen of each approved species at least once every 12 months
- Where an audit has not been undertaken by the registration expiry date, all semen collected/processed/stored from that date until the date of the next approval will not be eligible for export.

Audits by the recognised person may take place up to one month before registration expires. Pending this successful audit, the new approval period will begin on the original expiry date.
6.21.7 Where an approval is surrendered, expires or where it is cancelled by MAFBNZ, the following requirements must be met:
   a. any semen collected for export and its supporting documentation must be transferred to a MAFBNZ approved semen centre
   b. the recognised person must be notified by the centre manager where a centre surrenders its approval
   c. an exit audit must be undertaken by a recognised person within 20 working days of termination of approval. This includes:
      i. random audit of supporting documentation for two export consignments
      ii. determining that appropriate action has been taken in case of any positive test results.

Exit audits are carried out to ensure that semen, collected since the last audit, is fully compliant. The exit audit can be, but is not limited to, a desk audit.

6.21.8 The process to regain approval is in accordance with section 6.21.3. However, if the period of non-approval is greater than two years or when a new centre veterinarian has commenced sole supervision, all components of section 6.21.3, as well as section 6.21.4, are required. Any non-compliance found at the exit audit must be closed out prior to regaining approval.

6.21.9 At the completion of any audit, the recognised person must prepare an audit report in which she/he lists any non-compliance, draws conclusions and makes a recommendation about the approval of the centre. The report must be completed within 10 working days of the audit, sent to MAFBNZ and made available to the centre manager and centre veterinarian.

6.21.10 Notwithstanding all of the above, MAFBNZ reserves the right to carry out an audit where it is deemed to be necessary.

6.22 Non-compliance

6.22.1 The corrective actions for a critical non-compliance are:
   a. the recognised person must discuss the non-compliance with the centre veterinarian and centre manager, and document the issue(s)
   b. the non-compliance report must be sent to the Exports Group within 24 hours of completion of the audit. This will lead to immediate suspension of the approval of the centre veterinarian and the centre
   c. a full investigation by MAF Operational Audit Group, who must provide a report and make recommendations regarding the re-instatement or cancellation of approval of the centre veterinarian and/or the centre
   d. pending the results of the MAF Operational Audit Group investigation, the Exports Group must decide if the Veterinary Council of New Zealand should be notified.
6.22.2 The corrective actions for minor and major non-compliance are:
   a. the recognised person must discuss the non-compliance with the centre
      veterinarian and centre manager, and document the corrective actions agreed
      upon between the recognised person and centre veterinarian and centre manager
   b. a deadline for rectification must be set and agreed
   c. this non-compliance report, using the template in Appendix I, must be sent to
      the Exports Group within 10 working days of the audit
   d. the corrective action must be checked by the recognised person for compliance
      within the agreed timeframe
   e. all non-compliances closed out must be sent to the Exports Group within 10
      working days of the non-compliance being closed out.

6.22.3 After receiving the audit report, the Exports Group will update the registration
   database and notify the centre veterinarian, centre manager and the technical manager
   of the recognised agency.
Part 7  Requirements for semen centre managers and semen centre veterinarians

This document sets out the requirements for semen centre managers, and semen centre veterinarians who are approved to supervise semen centres.

7.1  Responsibilities of semen centre managers

7.1.1  A centre manager must ensure that:

a.  the centre employs competent staff
b.  a centre veterinarian is associated with the centre, that he/she has adequate knowledge of what is happening at the facilities on a day-to-day basis, and that he/she is able to fulfil his/her requirements as a centre veterinarian
c.  changes to the status of the centre veterinarian(s) and the centre are notified to the recognised person immediately
d.  a quality system is kept up-to-date and is followed (see section 6.5)
e.  centre facilities are compliant with section 6.6
f.  annual internal audits are undertaken
g.  any corrective actions identified at any audit are closed out within the allocated timeframes
h.  prior to any significant change to the centre’s approved facilities or procedures, the recognised person is notified
i.  the centre veterinarian(s) is not placed in a situation that compromises his/her impartiality and independence in the performance of his/her functions as a centre veterinarian.

7.2  Requirements of semen centre veterinarians

7.2.1  A centre veterinarian must:

a.  be a veterinarian registered with the Veterinary Council of New Zealand
b.  hold a current annual practising certificate as required under Part I of the Veterinarians Act 2005 entitling a veterinarian to practise in New Zealand
c.  not be currently, and have not been previously, subject to any punitive action by the Veterinary Council of New Zealand
d.  be provided, and familiar, with
   i.  the Code of Professional Conduct for Veterinarians
   ii.  the relevant Parts of this OAP
   iii.  the centre’s own work manual
   iv.  the MAFBNZ conflict of interest policy
   v.  any relevant export requirements
   vi.  section 3.2 (collection and processing of semen) and section 1.2 (obligations and ethics in international trade) of the OIE Code.
   e.  have read and understood the MAFBNZ conflict of interest policy and completed the declaration in the application form in Appendix I.

7.3  Responsibilities of semen centre veterinarians

7.3.1  The centre veterinarian must ensure that the requirements of Part 6 of this OAP are complied with. In addition, the centre veterinarian must:
7.4 Conflict of interest

7.4.1 The centre veterinarian must ensure that any conflicts of interest are identified, disclosed and managed to the satisfaction of MAFBNZ.

7.5 Approval of semen centre veterinarians

7.5.1 For a new centre or a centre with non-continuous approval, the centre veterinarian must be approved during the ‘provisional’ approval (see section 6.21.3).

7.5.2 When an additional centre veterinarian commences supervision of an approved centre, the centre veterinarian must be approved within 10 working days of starting.

7.5.3 When a new centre veterinarian commences sole supervision of an approved centre, the centre veterinarian must be approved as part of that centre audit within 10 working days of starting (see section 6.21.6).

In this context, a new centre veterinarian means a veterinarian who has not previously participated in an audit of the centre concerned.

7.5.4 The centre veterinarian must submit the completed application approval form in Appendix 1 to the recognised person at commencement and at every six-monthly audit thereafter. The recognised person must assess the centre veterinarian to ensure he/she meets the requirements of this Part of the OAP. If satisfied, the recognised person must then send the completed, dated and signed application form, via the technical manager, to the Exports Group.

7.5.5 Where the approval status of the centre veterinarian is surrendered, the centre manager must inform the recognised person prior to this event. The recognised person must inform their technical manager who, in turn, must inform the Exports Group of this change of status.
Part 8 Requirements for embryo teams

8.1 Introduction

This Part sets out the requirements for New Zealand embryo teams to be approved for collecting, processing and storing embryos from ruminants, equidae and other species for export. It applies to both in-vivo derived and in-vitro produced embryos. These requirements are based, in part, on the recommendations related to collection, processing and storage of embryos in the OIE Code and IETS Manual, and will be used when auditing embryo teams. Additional requirements may be needed depending on the export requirements. This section of the OAP does not apply to collection, processing and storage of embryos for domestic use.

The purposes of official sanitary control of embryo collection, processing and storage are to:
- maintain the health of animals at a level that permits the international distribution of embryos having negligible risk of infecting recipient animals and progeny with specific pathogenic organisms that can be transmitted by embryos
- ensure that embryos are collected, processed and stored in a manner that maintains their export health status, so allowing the issuing of official assurances.

8.2 Requirements for approval and registration

8.2.1 Embryo teams must be approved and registered by MAFBNZ for collecting, processing and storing embryos of specified species for export. The application form for approval is in Appendix I.

An embryo team may elect to collect, process and store embryos, or solely store embryos. In the latter situation, only those requirements relevant to this function must be complied with and are not species specific. A MAFBNZ approved embryo team may carry out embryo collection at a permanent facility and/or on-farm. Each approved embryo team will be given a registration number. The list of registered embryo teams is a public document, and is available on the MAFBNZ website. The register will include changes in registration status.

8.2.2 MAFBNZ approval of a team will be given where:
- the team veterinarian is approved by MAFBNZ (see Part 9 relating to team veterinarian)
- a recognised person has carried out an audit of the embryo team and its procedures and facilities, and found these to comply with Parts 5, 8 and 9 of the OAP, and the team’s own work manual.

8.3 Embryo teams and other staff

8.3.1 Embryo teams must be under the direct supervision of an approved team veterinarian who has adequate knowledge of what is happening at the facilities on a day-to-day basis, who is able to fulfil his/her requirements as a team veterinarian, and who is able to be present at reasonable notice.
Requirements for supervision are detailed in Part 9 relating to the team veterinarian.

8.3.2 The embryo team must have technically competent personnel and, where appropriate, be trained in the techniques for prevention of disease. Personnel must have access to, and follow the procedures laid down in the work manual appropriate to their position.

8.3.3 Technical staff, other than the embryo team, must be under the indirect supervision of the approved team veterinarian, and have access to and follow the procedures laid down in the work manual and appropriate to their position.

8.4 System requirements for embryo teams

8.4.1 The team veterinarian must establish, document and maintain systems and procedures to ensure that only embryos that meet the relevant Parts of this OAP, the export requirements, and the import permit (if required) will be presented for export. The systems and procedures must be fully described in the embryo team’s work manual.

8.4.2 The work manual must include sections that detail the following:

a. the name and contact details of the team veterinarian
b. the name and contact details of laboratories used for disease testing required for export
c. a comprehensive site plan showing the layout of the site, the facilities and all defined areas

d. documented procedures for:
   i. collecting of embryos
   ii. on-farm collection, where applicable, including a description or photographic record of each on-farm collection facility
   iii. cleaning and disinfection as appropriate to the facility(s)
   iv. isolation of animals and how isolation is maintained, where applicable
   v. actions taken in the event of a breach in isolation of animals
   vi. cleaning, disinfection or sterilisation of equipment, where applicable
   vii. processing embryos, including details of media, and solutions, their source and, where necessary, how they are treated to avoid animal health risks
   viii. labelling, packaging and storing embryos, methods of sealing and storage, and methods of maintaining an inventory of stored embryos
   ix. the preparation of animals prior to collection, as appropriate for the species involved
   x. managing shared facilities where different species of animals, or animals of the same species with different export health status are present
   xi. ensuring that appropriate laboratory submission forms are used for disease testing required for export
   xii. when approvals are surrendered/expired/cancelled, and the transfer of any remaining embryos, including their supporting documentation, to another centre

The site plan should show the location of all facilities and defined areas, including each collection facility, laboratory(s), storage facility(s) and isolation facility(s), where applicable.
xiii. ensuring that, when embryos are received from other embryo teams for storage, all documentation required for determining the export health status of the embryos at the time of export is available
xiv. control of visitors entering any processing and storage facility
xv. actions taken in the event of an unfavourable test result, where applicable
xvi. conditions for the presence of other domestic animals, and specifically areas to which these animals are not allowed access
xvii. record keeping methods that specify what records must be kept, how, and for how long
xviii. a document control system with the locations of all officially issued versions of the manual. A suitable method must be used to identify the current version of the manual; there must be a back-up system if it is stored electronically
xix. how and when internal audits will be undertaken, how records of the findings are kept, and how any non-compliances are closed out.

8.4.3 The team veterinarian must undertake annual internal audits to ensure that the embryo team is operating in compliance with Parts 5, 8 and 9 of this OAP, and Parts 6 and 7 for embryo teams approved to store semen.

8.4.4 Records must be kept for all matters that demonstrate compliance with this Part of the OAP, for a minimum of seven years, and include:

a. an up-to-date list of the embryo team, their relevant qualifications and training
b. an up-to-date list of other staff and their positions
c. an up-to-date list of farms where embryos are collected and the description or photographic record of each on-farm collection facility, where applicable
d. visitor entry to the laboratory(s), storage facility(s) and isolation facility(s) (where applicable)
e. how documented procedures are complied with
f. incidents (e.g. unfavourable test results) and, where applicable, the actions taken to ensure that there have not been any breaches in export eligibility of embryos
g. all supporting documentation related to the collection, processing and storage of embryos
h. details of embryo storage since collection and processing, including dates and location, as well as an up-to-date list of embryos sent to and/or received from other embryo teams, where applicable
i. internal audit reports, all non-compliances identified and the corrective actions taken

It is recommended that the team veterinarian uses a recognised international standard as guidance for developing the team’s quality system.

j. a schedule for on-farm collections, where known.

8.4.5 Animal records must be kept of all animals from which embryos have been collected. These records must be available for inspection, and show at least the following information:

a. animal identification
b. species and breed
c. date of birth
Where the exact date of birth is not known, the first day of the month should be used as the default date of birth. Horses usually have a default date of birth.

d. country of birth and date of import, where applicable  
e. owner’s name and contact details  
f. date on which isolation began, where applicable  
g. date of entry onto and departure from the facility, where applicable  
h. health/disease information:  
   i. details of animal examinations in accordance with the export requirements  
   ii. dates(s) of sampling, and date(s) and result(s) of diagnostic test(s) in accordance with the export requirements. Laboratory reports must be available for audit  
   iii. details of any treatment(s) and/or vaccination(s) in accordance with the export requirements, including date(s), dose rate(s), product(s)/vaccine(s) used  
   iv. evidence supporting any herd/flock/farm of origin statement(s) regarding freedom from disease, where applicable.  
   i. date(s) of embryo collection and processing  
   j. details of semen donor compliance in accordance with the export requirements.

Where imported semen is used, adequate supporting documentation for semen donor compliance would be a copy of the import permit or the Biosecurity Authority Clearance Certificate.

8.4.6 Records must be retained for future reference for a minimum of seven years following export.

Where embryos, collected more than seven years previously, are presented for export, the appropriate records will be required to demonstrate their eligibility for export.

8.5 Facility requirements for embryo teams

8.5.1 The embryo team must have adequate facilities and equipment for collecting embryos, processing and storing embryos. These facilities comprise:

a. animal holding area or accommodation area, where resident animals are present

Animal holding and accommodation areas may be paddocks.

b. a collection facility(s)

Examples of collection facilities for cattle are a crush, head bail, and a bail on a rotary platform.

c. a laboratory for processing embryos, which must be physically separated from the embryo collection facility

d. a storage facility, which may be part of the laboratory, but must be in a specifically defined area.

These facilities may be at different locations.
A MAFBNZ approved embryo team solely carrying out storage, requires only a storage facility.
8.6 Pre-collection requirements

8.6.1 Any pre-collection testing and/or treatment requirements must be in accordance with the export requirements. Where pre-collection testing/treatment is required, the animals must be kept in isolation from the time of sampling/treatment.

8.6.2 Where pre-collection isolation is required, this must be in accordance with the following:
   a. species must be kept separate by means of species-proof fences to maintain the export health status of the animals

   Sheep and goats being prepared in accordance with the same export requirements may be considered to be a single species unless these requirements state otherwise. Other domestic animals may be used, where necessary, for managing donor animals. However, they should not present a disease risk to those species whose embryos are to be collected.

   b. feed and drinking water supplied to animals must be so derived that they do not compromise the export health status of the animals

   c. any sharing of facilities by the different species of animals, or animals of the same species with different health statuses, must be such that it does not present a risk to the export health status of the isolated animals

   d. entry is prohibited for non-authorised personnel.

8.6.3 The timing of pre-collection isolation must be in accordance with the export requirements.

8.6.4 The team veterinarian must ensure that all pre-collection requirements have been completed prior to the start of embryo collection (flushing).

8.7 Embryo collection

8.7.1 Embryos must be collected in accordance with the export requirements. In addition the following applies:
   a. collection must be carried out in a facility that has been cleaned prior to collection
   b. on the day of collection, the animal being collected from must not show any evidence of infectious disease that will compromise the integrity of the embryos
   c. prior to collection, the animals involved must be prepared, as appropriate for the species involved
   d. all equipment used to collect and handle embryos must be sterilised prior to use, and have method(s) to identify that such sterilisation has been carried out, or be disposable and discarded after use.

8.8 Embryo processing

The processing laboratory used by the embryo collection team may be permanent or mobile.

8.8.1 The requirements for the laboratory are the following:
   a. must be constructed so that the interior can be cleaned and disinfected
   b. must have work surfaces that are cleaned and disinfected before and after embryo processing
8.6 Requirements for embryo teams

c. must be kept clean and tidy, and be protected against rodents and insects
d. must have defined areas for the handling and examination of embryos, and for accommodating equipment and materials used in contact with the donor animals
e. entry is prohibited for non-authorised personnel
f. all laboratory equipment used to process embryos must be sterilised prior to use, and have method(s) to identify that such sterilisation has been carried out, or be disposable and discarded after use
g. all ancillary equipment used for embryo processing must be calibrated and maintained by regular service.

8.8.2 Embryos must be processed in accordance with the export requirements. In addition the following applies:

a. the washing and examination of embryos is carried out according to the standardised system recommended by the IETS Manual
b. routine samples (at least the equivalent of three straws of 0.25 ml each) of the medium used for the last four washes, and degenerate and non-transferable embryos from the same collection batch of equal export health status must be pooled and retained, and be available for testing as required. Samples must be correctly identified and stored at or below minus 70°C for a minimum of 12 months from the date of collection
c. any products of animal origin used in the processing of embryos must be obtained from sources that do not present any animal health risk or are so treated that such risk is prevented
d. antibiotics and their concentrations added to the embryos must be recorded
e. only embryos from animals of the same export status are processed at the same time
f. any receptacle (including straws, shippers and tanks) used for the packaging, storage and transport of embryos must be cleaned and disinfected, or sterilised, before the start of any initial filling operation, or must be new
g. cryogenic agent must not have been used previously
h. each individual straw of embryos must be indelibly marked in accordance with the recommendations of the IETS Manual, such that the country of origin, date of collection, species, breed and identification of the donor, as well as the name and/or registration number of the embryo team can be readily established; alternatively a code, and its cipher, for the above information can be used.

8.9 Embryo storage

8.9.1 Storage facilities must meet the following requirements:

a. must be constructed so that the interior can be cleaned and disinfected
b. any receptacle (including shippers and tanks) used for storage and transport of embryos must be cleaned and disinfected, or sterilised, before the start of any initial filling operation, or must be new
c. cryogenic agent must not have been used previously
d. storage containers must contain only embryos of donors that meet at least the requirements of this part of the OAP.

8.9.2 Embryos must be stored in accordance with the export requirements.
8.10 **Semen storage**

8.10.1 Embryo teams that elect to store semen for export must be MAFBNZ approved in accordance with the applicable sections of Part 6 and 7 of this OAP.

8.11 **Post-collection testing**

8.11.1 Any post-collection testing must be undertaken in accordance with the export requirements.

8.12 **Export testing**

8.12.1 All animals from which embryos are to be collected must be subjected to tests, with favourable results, in accordance with the export requirements.

8.12.2 In the event of a confirmed, unfavourable test result involving additional tests specified in the export requirements, see clause 11.2.3

8.12.3 All laboratory testing specified in the export requirements must be carried out by a laboratory approved by MAFBNZ for requisite export testing.

The Exports Group maintains a list of approved laboratories on the MAFBNZ website along with lists of the testing procedures each laboratory is approved to undertake.

8.12.4 Embryo teams must keep records of the date on which samples were taken for export testing.

8.13 **Semen donors**

8.13.1 Frozen semen used to inseminate donor females must be compliant with the export requirements. Where natural service or fresh semen is used, donor males should have the same export health status as donor females.

8.14 **Conditions of entry onto the facilities**

8.14.1 No person is allowed to enter the isolation, laboratory and storage facilities unless authorised under conditions set by the team veterinarian. The conditions must be made available to the visitor.

8.14.2 Authorised visitors to the laboratory must sign the visitors’ book giving their name and organisation represented (where appropriate).

8.14.3 Persons entering the isolation, laboratory and storage facilities must wear appropriate clothing and footwear, so as not to compromise the hygiene required in each section.

8.14.4 Vehicle entry to the isolation facility must be authorised, and comply with conditions laid down by the team veterinarian.

8.15 **Reporting requirements**
8.15.1 Prior to any significant change to the team’s approved facilities or procedures, the team veterinarian must notify the recognised person.

Significant changes include, but are not limited to, changes to the embryo team veterinarian(s), embryo team veterinarian’s conflict of interest, the site plan, the schedule of any on-farm collections, and the work processes or procedures.

8.15.2 The recognised person reserves the right to audit such significant changes.

8.16 **Embryo team approval**

8.16.1 An approval is valid for a maximum of 6 or 12 months, in accordance with clause 8.17.5, or until the approval is surrendered or cancelled by MAFBNZ.

8.16.2 At the end of the approval period an embryo team must reapply to maintain continuous approval or their approval lapses.

8.16.3 Approvals are subject to audits.

There are special requirements related to approval for exports of embryos to the EU, The People’s Republic of China, and Chile. The listed countries are those known as of 2008. Appropriate enquiries should be made in advance to confirm the current situation.

8.17 **Audits**

Audits are undertaken to ensure the integrity of official assurances given to importing countries.

8.17.1 Prior to any audit, the recognised person must obtain:

a. a list of consignments exported since the last audit, from NZFSA VA

b. a copy of the relevant sections of the work manual, from the team veterinarian.

8.17.2 Each embryo team must be audited by a recognised person:

a. before approval to export is given

b. at least every 6 or 12 months thereafter (refer to section 8.17.5).

8.17.3 A full approval to export must comprise two stages, which may be undertaken separately:

a. in the first stage, the recognised person must carry out an audit of the embryo team, their written procedures, representative facilities, and the team veterinarian. Following a successful audit, the embryo team will be given provisional approval status and its registration number. Collection for export cannot be undertaken at this stage

Animals can be resident at a facility for the purposes of export testing to fulfil the export requirements during the ‘provisional’ approval status.

b. in the second stage, which must occur within three months of provisional approval, unless otherwise agreed with the Exports Group, the recognised person must assess the embryo team carrying out collection, processing and
storage of embryos. Collection and processing must be observed for each species for which approval is sought, and can be undertaken at the collection of any embryos for export. Following a successful audit, the embryo team will be given full approval status.

8.17.4 Following full approval the supporting documentation of the first two export consignments must be verified by the recognised person prior to export. In the case of a major non-compliance, all supporting documentation of the next two export consignments must be verified by the recognised person. If any non-compliance is identified in those two export consignments, the full approval status will then be withdrawn.

The register of approved embryo teams will note the dates of approval, so users of the register can ascertain whether embryos were collected/stored during an approved period.

Supporting documentation includes, but is not limited to the following:
- declarations (owner/veterinarian) from the farm of origin regarding animal health status
- isolation, if applicable
- date of entry onto and exit from the collection facility, if applicable
- test date(s), type(s) and result(s)
- treatment date(s) and type(s).

8.17.5 Audits following full approval must be carried out at least every six months for the first two audits. After two consecutive six-monthly audits without any major or critical non-compliance, the auditing interval will be extended to 12 months at which all aspects of the audit must be carried out. The six-monthly auditing interval must be re-instated where any major or critical non-compliance occurs.

8.17.6 Where embryos are certified by the team veterinarian using a germplasm declaration, a copy must also be provided to the recognised person at the time of export for verification in accordance with section 5.4. The six-monthly auditing interval must be re-instated where any major or critical non-compliance occurs.

8.17.7 Audits for continuous approval must meet the following requirements:
   a. be carried out at least every six/twelve months in accordance with clause 8.17.5
   b. be an audit of the embryo team and team veterinarian, based on Parts 8 and 9 of the OAP, the embryo team’s own work manual, and all the supporting documentation for two export consignments

Where eligibility documents for the export consignments have been raised by the recognised person, these are not subject to additional audit.

   c. include an audit at least once every 12 months of the embryo team carrying out collection, processing and storage of embryos of each approved species
   d. where an audit has not been undertaken by the registration expiry date, all embryos collected/processed/stored from that date until the date of the next approval will not be eligible for export.

Audits by the recognised person may take place up to one month before registration expires. Following a successful audit, the new approval period will begin on the original expiry date.
8.17.8 Where an approval is surrendered, expires or where it is cancelled by MAFBNZ, the following requirements must be met:

a. the team veterinarian must notify the recognised person prior to the surrender of the approval

b. any embryos and their supporting documentation remaining at the facility must be transferred to a facility with MAFBNZ approval for storage prior to surrender, expiry or cancellation of the approval

c. an exit audit must be undertaken by the recognised person within 20 working days of termination of approval. This includes:
   i. random audit of supporting documentation for two export consignments

Where eligibility documents for the export consignments have been raised by the recognised person, these are not subject to additional audit.

ii. determining that appropriate action has been taken in case of positive test results.

Exit audits are carried out to ensure that embryos, collected since the last audit, are fully compliant. The exit audit can be, but is not limited to, a desk audit.

d. in the situation where embryos were transferred to another facility with MAFBNZ approval for storage, the exit audit may occur at the receiving facility and may be included as part of that facility’s six/twelve-month audit.

8.17.9 Where the same team veterinarian continues to supervise the embryo team the process to regain approval is in accordance with section 8.17.3, except for the requirement for inspection of the first two export consignments. However, if the period of non-approval has been greater than two years, all components of section 8.17.3 and 8.17.4 are required. Any non-compliance found at the exit audit must be closed out prior to regaining approval.

8.17.10 Where an approval is surrendered because a new team veterinarian commences supervision of an embryo team, the embryo team must be approved in accordance with section 8.17.3 and 8.17.4. The audit frequency following such approval will be in accordance with section 8.17.5. Any non-compliance found at the exit audit must be closed out prior to approval.

The exit audit may be carried out at the same time as the provisional approval of the new team veterinarian and embryo team. If embryos have been transferred to another MAFBNZ approved facility, the exit audit is in accordance with section 8.17.8 c and 8.17.8 d.

8.17.11 At the completion of any audit the recognised person must prepare an audit report in which she/he lists any non-compliance, draws conclusions and make recommendations to MAFBNZ regarding the approval of the embryo team. The report must be completed within 10 working days of the audit, sent to MAFBNZ and made available to the team veterinarian.

8.17.12 Notwithstanding all of the above, MAFBNZ reserves the right to carry out an audit where it is deemed to be necessary.

8.18 Non-compliance
8.18.1 The corrective actions for a critical non-compliance are:
   a. the recognised person must discuss the non-compliance with the team veterinarian and document the issue(s)
   b. the non-compliance report must be sent to the Exports Group within 24 hours of completion of the audit. This will lead to immediate suspension of the approval of the embryo team and its team veterinarian
   c. a full investigation by MAF Operational Audit Group, who must provide a report and make recommendations regarding the re-instatement or cancellation of approval of the embryo team and its team veterinarian
   d. pending the results of the MAF Operational Audit Group investigation, the Exports Group must decide if the Veterinary Council of New Zealand should be notified.

8.18.2 The corrective actions for minor and major non-compliance are:
   a. the recognised person must discuss the non-compliance with the team veterinarian, and document the corrective actions agreed upon between the recognised person and team veterinarian
   b. a deadline for rectification must be set and agreed
   c. this non-compliance report using the template in Appendix I must be sent to the Exports Group within 10 working days of the audit
   d. the corrective action must be checked by the recognised person for compliance within the agreed time frame
   e. all non-compliances closed out must be sent to the Exports Group within 10 working days of the non-compliance being closed out.

8.18.3 After receiving the audit report, the Exports Group will update the registration database and notify the team veterinarian and the technical manager of the recognised agency.
Part 9  Requirements for embryo team veterinarians

This document sets out the requirements for an embryo team veterinarian who is approved to supervise an embryo team.

9.1  Requirements for embryo team veterinarians

9.1.1 A team veterinarian must:

a. be a veterinarian registered with the Veterinary Council of New Zealand
b. hold a current annual practising certificate required as under Part I of the Veterinarians Act 2005 entitling a veterinarian to practise in New Zealand
c. not be currently, and have not been previously, subject to any punitive action by the Veterinary Council of New Zealand
d. be provided, and familiar, with:
   i. the Code of Professional Conduct for Veterinarians
   ii. the relevant Parts of this OAP
   iii. the team’s own work manual
   iv. the MAFBNZ conflict of interest policy
   v. any relevant export requirements
   vi. the latest version of the IETS Manual
   vii. section 3.3 (collection and processing of embryos/ova), and section 1.2 (obligations and ethics in international trade) of the OIE Code

e. have read and understood the MAFBNZ conflict of interest policy and completed the declaration in the application form in Appendix I.

9.2  Responsibilities of embryo team veterinarians

9.2.1 The team veterinarian(s) must ensure that the embryo team complies with Part 8 of this OAP. In addition, the team veterinarian(s) must:

a. ensure that only embryos that meet the relevant Parts of this OAP, the export requirements, and the import permit (if required) will be presented for export
b. ensure that he/she has adequate knowledge of what is happening at the facilities on a day-to-day basis and is able to be present at reasonable notice
c. carry out annual internal audits
d. arrange for audits by the recognised person to ensure approval is kept current
e. be present at every approval audit
f. ensure that any corrective actions identified at audit are closed out within the agreed timeframe
g. ensure that he/she is not placed in a situation which compromises his/her impartiality and independence in the performance of his/her functions as a team veterinarian
h. ensure that any change to his/her status is notified to the recognised person.

9.3  Conflict of interest

9.3.1 The embryo team veterinarian must ensure that any conflicts of interest are identified, disclosed and managed to the satisfaction of MAFBNZ.
9.4 Approval of embryo team veterinarians

9.4.1 Approval of the team veterinarian(s) is an essential pre-requisite for approval of the embryo team. An embryo team cannot be approved without a team veterinarian.

9.4.2 In the circumstance where an embryo team is without a team veterinarian:
   a. any embryos collected and processed are ineligible for export
   b. any embryos in storage at the embryo team’s facility must be transferred to the storage facility of an approved embryo team within two working days of this circumstance, or the embryos will be ineligible for export.

9.4.3 When a new team veterinarian commences supervision of an embryo team, the embryo team must be approved in accordance with section 8.17.3. The audit frequency following full approval will be in accordance with section 8.17.5.

9.4.4 The team veterinarian must submit the completed application approval form in Appendix I to the recognised person at commencement and at every six/twelve-month audit thereafter. The recognised person must assess the team veterinarian to ensure that he/she meets the requirements of this Part of the OAP. If satisfied, the recognised person must then send the completed, dated and signed application form, via the technical manager, to the Exports Group.

9.4.5 Where the approval status of the team veterinarian is surrendered, he/she must inform the recognised person prior to this event. The recognised person must inform their technical manager who, in turn, must inform the Exports Group of this change of status.
Part 10  Requirements for pre-export isolation facilities

10.1  Introduction

Countries importing live animals from New Zealand may require that animals spend a specified period of time prior to export in ‘isolation’ or ‘quarantine’ in either facilities that are specifically MAF-approved, or they may simply state that the animals must be isolated or quarantined.

This Part sets out the minimum requirements for pre-export isolation facilities for live animals where export requirements require:
- isolation in MAF-approved isolation facilities
- that animals are to be isolated but do not specify MAF approval.

In this Part, the term ‘isolation’ includes ‘quarantine’.

There are special requirements related to pre-export isolation for Chile. The country listed is that known as of 2007. Appropriate enquiries should be made in advance to confirm its correctness or otherwise.

10.2  Pre-export isolation in MAF-approved facilities

10.2.1 Where export requirements require isolation of animals in MAF-approved pre-export isolation facilities, sections 10.2 to 10.13 must be complied with.

10.3  Responsibilities of the exporter

10.3.1 The exporter is responsible for:
   a. ensuring that export animals requiring MAF-approved isolation are isolated only in facilities and under an isolation plan that meet sections 10.2 to 10.13 of the OAP
   b. ensuring that the facility and the isolation plan are approved by a recognised person prior to the animals for export commencing their isolation period in the facility
   c. arranging for a recognised person to undertake overall supervision during the isolation period, and for ensuring that only animals that meet the conditions set down in the export requirements are presented for export.

The recognised person may direct a supervising veterinarian to perform the day-to-day supervision of pre-export isolation, where not specified otherwise by the export requirements.

10.3.2 The exporter must provide the facility operator with the isolation plan and ensure that this can be met.

10.4  Requirements for approval
10.4.1 The recognised person must inspect the facility and its isolation plan prior to, or at, the
beginning of the isolation period, and confirm in writing to the exporter that these are
compliant with sections 10.2 to 10.13 of the OAP.

The recognised agency is responsible for maintaining records regarding the number of approvals of
pre-export isolation facilities, isolation plans, and any issues thereof, and reporting these to the
Exports Group.

10.4.2 The period of pre-export isolation commences after the last animal of the consignment
scheduled for export enters the approved facility.

10.5 Requirements for supervision

10.5.1 The recognised person (or supervising veterinarian, where applicable) must visit the
facility at the beginning of the isolation period and with sufficient frequency thereafter
to ensure compliance with the isolation plan.

10.5.2 Where the export requirements require certain activities, e.g. testing and treatment, to
be undertaken before the animals enter isolation, the recognised person (or supervising
veterinarian, where applicable) must confirm, on the first visit, that those requirements
have been met.

10.6 Requirements for the facility

10.6.1 The facility must meet the following requirements:
  a. be so designed that any risk of disease transmission is prevented
  b. be located such that the road journey to the port of departure can be carried out
     without the need for offloading the animals
  c. provide appropriate management practices for the animals being isolated
  d. have appropriate facilities to undertake any testing, treatment, inspection or
     examination that is required during isolation.

Due consideration should be given to whether an outdoor, indoor or combination facility is
required to provide sufficient isolation. Multiple facilities can be used for one consignment, where
required and allowed by the export requirements.

10.6.2 Where multiple consignments are held within the same pre-export isolation facility,
each consignment must have facilities for their exclusive use.

10.6.3 Shared facility(s) may be used only where the following are unequivocal:
  a. sharing does not compromise the export status of the animals
  b. the facility(s) is constructed such that it can be cleaned and disinfected between
     usage by animals of a different export status.

10.7 Isolation plan

10.7.1 The facility operator must establish, document, maintain and follow an isolation plan
to ensure that animals for export meet the relevant Parts of this OAP and the export
requirements.
10.7.2 The isolation plan must have:
   a. a comprehensive site plan showing the layout of the site of the facilities, entrances to the facility and any defined areas

   The site plan should show the address, as well as the location of all facilities, including paddocks, yards and loading ramps.

   b. contact details of the recognised person and the supervising veterinarian, where applicable
   c. requirements and responsibilities of all facility staff involved with the consignment
   d. procedures covering the following:
      i. prevention of direct/indirect contact between animals
      ii. management of access to the facility
      iii. management of the export health status of the animals
      iv. management of any breach of isolation of animals
      v. management of ineligible animals
      vi. departure from the isolation facility
   e. details of the person who is responsible for record-keeping, and the location of the records.

10.8 Requirements and responsibilities of facility staff

10.8.1 The facility operator must be suitably qualified/experienced in the husbandry of the species being isolated or must employ an experienced stockperson for daily supervision of the facility. The stockperson must immediately report any breaches in the animals’ isolation status to the operator.

10.8.2 The facility operator is responsible for ensuring that there are adequate staff who must be suitably trained in animal husbandry and animal management practices, where applicable. All facility staff must have knowledge of, and must follow, the isolation plan.

10.8.3 The facility operator is responsible for meeting the requirements relating to the facility and its isolation plan, and for advising the recognised person if these requirements are not met.

10.9 Prevention of direct/indirect contact between animals

10.9.1 Facility boundaries must be such that the export animals are isolated from other animals that present a risk to the export health status of the animals in isolation.

   The entry of any such animals into the facility will invalidate the isolation period.

10.9.2 An animal(s) destined for export, that leaves the facility during the isolation period must not re-enter during that period.

10.9.3 Where indoor accommodation is used, this must be cleaned and disinfected prior to entry of the animals destined for export.

10.9.4 Animals not destined for export must not be present on the facility at the same time as animals being prepared for export.
Domestic animals may be used where necessary for managing animals in pre-export isolation. However, they must not present a disease risk to the animals to be exported.

10.9.5 Cleaning and disinfection of equipment used in animal accommodation or handling areas must be undertaken prior to entry of each new consignment. If the equipment is removed, it must be similarly treated before re-entry to the facility.

10.9.6 Feed and drinking water supplied to export animals must be so derived that it does not constitute an animal health risk.

10.9.7 Feed stores must be protected from vermin.

10.9.8 Persons entering the facility must ensure that their clothing and footwear, does not compromise the export health status of the animals in isolation.

10.10 Access to the facilities

10.10.1 Only persons, animals or equipment required to be on the facility are allowed entry. No other person(s) is allowed to enter the facility unless authorised by the operator. The conditions of entry must be made available to the visitor.

10.10.2 Authorised visitors to the facility must sign the visitors’ book giving their name, organisation represented (where appropriate), and be accompanied by a facility staff member.

10.10.3 Vehicle entry to the isolation facility must be authorised by the facility operator, and comply with any specific export requirements.

10.10.4 Entry must be prohibited for non-authorised personnel.

10.11 Management of export health status of the animals in isolation

10.11.1 Any changes to the export health status in the animals destined for export, or breaches in isolation, must be recorded and immediately reported to the recognised person.

10.11.2 Any failure of isolation of the animals results in the isolation period being voided.

10.11.3 Where unforeseen circumstances cause a failure in the isolation of the animals to be exported, but not necessarily a change in their isolation status, a dispensation may be granted by the Exports Group on a case-by-case basis.

10.12 Departure from the facility

10.12.1 Load-out from the facility must occur only when authorised by the recognised person, or his/her nominated representative, and must be under their supervision.

10.12.2 The transport of the animals to the port of departure must be by the most direct route, and the animals destined for export must not come into contact with animals of a lesser export health status.
10.12.3 Where the export requirements specify a particular regime of cleaning and disinfection, this must be adhered to. In all other situations, vehicular transport used to transport animals of a certified health status must be cleaned and disinfected prior to transport in order to maintain the animal health status.

A transport declaration form is available in Appendix I.

10.12.4 The facility must remain available until the animals destined for export have left the country or been loaded onto a ship, in case it is necessary for the animals to return to the facility.

### 10.13 Records

10.13.1 Records must be kept to demonstrate that the procedures in the isolation plan have been met. These records must include:

a. all consignments of animals destined for export, including species, breed, numbers, identification, dates of arrival, dates of departure, destinations, and exporter details relating to each consignment

b. any testing, treatments, inspections and examinations relating to each consignment
c. transporter’s name, contact details and date(s) of transport
d. visitors, including names and addresses
e. any incidents and corrective actions taken.

10.13.2 At the end of the isolation period, these records must be supplied to the recognised person who will keep them as supporting documentation relating to that consignment.

10.13.3 Records, including those of ineligible animals, must be retained for a minimum of seven years.

### 10.14 Pre-export isolation in continuously approved facilities

Pre-export isolation facilities may operate under continuous approval, e.g. facilities that are used for isolating horses destined for export.

10.14.1 Facilities that are continuously approved must meet the sections 10.2 to 10.15 of this Part of the OAP, except clauses 10.4.2, 10.5.1 and 10.11.1. An application form is in Appendix I. In addition, the facility operator must undertake internal audits, and record any non-compliance and how these will be rectified. Reports must be named, signed and dated by the auditor.

10.14.2 When a continuously approved facility does not contain a consignment for export, it can be used for other purposes. The use of the facility during such times must not compromise its use for pre-export isolation. The facility documentation must contain the measures to be undertaken to ensure that there is no such compromise.

10.14.3 An approval is valid for 12 months or until the approval is surrendered.

Audits by the recognised person may take place up to one month before the approval expires. Following a successful audit, the new approval period will begin on the original expiry date.
10.14.4 Continuous approvals are subject to audits by a recognised person.

10.14.5 A copy of the isolation plan and a list of consignments exported since the last audit must be provided to the recognised person prior to any audit.

10.14.6 Where an approval is surrendered, expires or where it is cancelled by MAFBNZ, an exit audit must be undertaken by a recognised person within 15 working days of termination of approval.

10.14.7 At the completion of any audit the recognised person must prepare an audit report in which she/he lists any non-compliance, draws conclusions and make recommendations regarding the approval of the facility. The report must be completed within 10 working days of the audit, sent to MAFBNZ and made available to the facility operator.

10.14.8 Notwithstanding all of the above MAFBNZ reserves the right to carry out an audit where it is deemed to be necessary.

10.15 Non-compliance

10.15.1 The corrective actions for a critical non-compliance are:
   a. the recognised person must discuss the non-compliance with the facility operator and document the issue(s)
   b. the non-compliance report must be sent to the Exports Group within 24 hours of completion of the audit. This will lead to immediate suspension of the approval of the facility
   c. a full investigation by MAF Operational Audit Group, who must provide a report and make recommendations regarding the re-instatement or cancellation of approval of the facility.

10.15.2 The corrective actions for minor and major non-compliance are:
   a. the recognised person must discuss the non-compliance with the facility operator, and document the corrective actions agreed upon between the recognised person and facility operator
   b. a deadline for rectification must be set and agreed
   c. this non-compliance report, using the template in Appendix I, must be sent to the Exports Group within 10 working days of the audit
   d. the corrective action must be checked by the recognised person for compliance within the agreed time frame
   e. all non-compliances closed out must be sent to the Exports Group within 10 working days of the non-compliance being closed out.

10.16 Pre-export isolation in non-MAF-approved facilities

10.16.1 Where export requirements require isolation of animals, but do not specify that this must be carried out in MAF-approved facilities, sections 10.16 to 10.19 apply.

10.17 Responsibilities of the exporter

10.17.1 The exporter is responsible for ensuring that:
23 June 2008  Page 10.7

Live Animals and Germplasm
Version 2
Requirements for pre-export isolation facilities

a. export animals requiring isolation are isolated in facilities that meet the requirements of sections 10.16 to 10.19 of the OAP and any additional export requirements

b. a recognised person inspects the facility prior to, or at, the beginning of the isolation period

The purpose of this inspection is to enable the recognised person to be assured that the facility and the animals meet the requirements of sections 10.17 to 10.19.

10.17.2 The period of pre-export isolation commences after the last animal of the consignment scheduled for export enters the facility. Any failure of isolation of the animals results in the isolation period being voided.

10.17.3 Where the export requirements require certain activities, e.g. testing and treatment, to be undertaken before the animals enter isolation, the recognised person must be provided with documentation to show that these requirements have been met before the animals enter isolation.

10.18 Requirements for the facility

10.18.1 The facility must have a comprehensive site plan, showing the layout of the site of the facilities, and entrances to the facility.

The site plan should show the address, as well as the location of all facilities, including paddocks, yards and loading ramps.

10.18.2 The facility must have staff that are suitably qualified/experienced in the husbandry of the species being isolated.

10.18.3 Facility boundaries must be such that the export animals are isolated from other animals that present a risk to the export health status of the animals in isolation.

The entry of any such animals into the facility will invalidate the isolation period.

10.18.4 Where indoor accommodation is used, this must be cleaned and disinfected prior to entry of the animals destined for export.

10.18.5 Cleaning and disinfection of equipment used in animal accommodation or handling areas must be undertaken prior to entry of each new consignment. If the equipment is removed, it must be similarly treated before re-entry to the facility.

10.18.6 Feed and drinking water supplied to export animals must be so derived that it does not constitute an animal health risk.

10.18.7 Feed stores must be protected from vermin.

10.18.8 Only persons, animals or equipment required to be on the facility are allowed entry.

10.18.9 Persons entering the facility must ensure that their clothing and footwear, does not compromise the export health status of the animals in isolation.
10.18.10 Vehicle entry to the isolation facility must comply with any specific export requirements.

10.18.11 Animals not destined for export must not be present on the facility at the same time as animals being prepared for export.

Domestic animals may be used where necessary for managing animals in pre-export isolation. However, they must not present a disease risk to the animals to be exported.

10.18.12 The facility must be located such that the road journey to the port of departure can be carried out without the need for offloading the animals.

10.18.13 There must be appropriate facilities to undertake any testing, treatment, inspection or examination that is required during isolation.

Due consideration should be given to whether an outdoor, indoor or combination facility is required to provide sufficient isolation. Multiple facilities can be used for one consignment, where required and allowed by the export requirements.

10.18.14 Animals destined for export that leave the facility during the isolation period must not re-enter during that period.

10.18.15 The facility staff must immediately notify any breaches in the animals’ isolation status to the exporter.

10.18.16 Where unforeseen circumstances cause a failure in the isolation of the animals to be exported, but not necessarily a change in their isolation status, a dispensation may be granted by the Exports Group on a case-by-case basis.

10.19 Departure from the facility

10.19.1 Load-out from the facility must occur only when authorised by the recognised person or his/her nominated representative.

10.19.2 The transport of the animals to the port of departure must be by the most direct route, and the animals destined for export must not come into contact with animals of a lesser export health status.

10.19.3 Where the export requirements specify a particular regime of cleaning and disinfection, this must be adhered to. In all other situations, vehicular transport used to transport animals of a certified health status must be cleaned and disinfected prior to transport in order to maintain the animal health status.

A transport declaration form is available in Appendix I.

10.19.4 The facility must remain available until the animals destined for export have left the country or been loaded onto a ship, in case it is necessary for the animals to return to the facility.
10.19.5 At the end of the isolation period, a declaration must be supplied by the exporter to the recognised person as supporting documentation relating to the isolation of the consignment, using the declaration form in Appendix I.
Part 11 Requirements in the event of an exotic or endemic disease occurrence

11.1 Exotic diseases

In the event of an occurrence of an exotic disease for which New Zealand certifies country freedom, the issuing of official assurances for live animals and germplasm will cease until country freedom status has been regained, or the export requirements have been re-negotiated. This situation is covered by the Biosecurity Act 1993 and will be managed by MAFBNZ and other government departments as part of the response to an exotic disease incursion.

11.2 Endemic diseases

11.2.1 In the event of a confirmed diagnosis of any of the following diseases: bovine tuberculosis, bovine viral diarrhoea/mucosal disease, bovine genital campylobacteriosis, trichomonosis, enzootic bovine leukosis, ovine epididymitis, and caprine arthritis-encephalitis; occurring at a MAFBNZ-approved facility, the following applies:
   a. the Exports Group must be notified immediately
   b. the approval status of the facility will be terminated and all exports will cease
   c. all semen collected and isolated since the animals last favorable test result must be assigned the health status appropriate to the confirmed diagnosis for any future export
   d. all countries who were recipient of semen collected since the last favorable test result must be notified
   e. to regain approval status for export, a plan for the reestablishment of the export health status of the facility must be developed in consultation with the Exports Group and the recognised agency involved, and implemented accordingly
   f. approval status may be regained pending a successful audit of the facility.

11.2.2 In the event of a confirmed diagnosis of any of the following diseases: bovine tuberculosis, enzootic bovine leukosis, infectious bovine rhinotracheitis/infectious pustular vulvovaginitis, bovine viral diarrhoea/mucosal disease, bovine genital campylobacteriosis, trichomonosis, equine viral arteritis, border disease, caprine arthritis-encephalitis (for goats only), and ovine epididymitis (for sheep only); occurring at a facility that is EU listed, the following applies:
   a. the Exports Group must be notified immediately
   b. the facility will be delisted and all exports will cease
   c. all semen collected and isolated since the animals last favorable test result must be assigned the health status appropriate to the confirmed diagnosis for any future export
   d. the EU Commission must be notified of all semen exported to the EU since the last favorable test result
   e. to regain approval status for export, a plan for the re-establishment of the export health status of the facility must be developed and implemented accordingly in consultation with the Exports Group and the recognised agency. This plan must include procedures and protocols for paddocks as appropriate to the disease confirmed
   f. EU approval status may be regained pending a successful audit and relisting of the facility.
11.2.3 In the event of a confirmed diagnosis involving additional tests specified in the export requirements, the Exports Group must be notified immediately. The Exports Group will decide on the required course of action decided on a case-by-case basis.

Additional tests are those carried out in accordance with the export requirements and over and above the routine tests listed in clause 6.10 of the OAP.
Part 12  Requirements for live bees

12.1  Introduction

This Part sets out the requirements for exports of live bees. Exporters may elect to use one of two options for preparation of documentation to meet the export requirements:
- an exporter may send appropriate supporting documentation to a recognised person who will prepare an eligibility document
- an exporter may gain MAFBNZ approval as a bee team to prepare a bee declaration upon which an authorised person may issue an official assurance.

12.2  General requirements

12.2.1 All exporters of live bees must meet the requirements of Part 2 and 5 of this OAP.

12.3  Requirements for approval and registration

12.3.1 A bee exporter may elect to be approved and registered by MAFBNZ as a bee team for the export of live bees.

Each approved bee team will be given a registration number. The list of registered bee teams is a public document and is available on the MAFBNZ website.

12.3.2 MAFBNZ approval of a bee team will be granted where a recognised person has carried out an audit of the bee team and found it to be in compliance with this Part of the OAP and the centre’s work manual. An application for approval can be found in Appendix I.

12.4  Bee team staff

12.4.1 The approved bee team must have technically competent personnel and, where appropriate, be trained in the techniques for prevention of disease. Personnel must have access to, and follow the procedures laid down in the work manual appropriate to their position.

12.4.2 Where export requirements require hive inspection, the following applies:
   a. inspectors must be competent to the AP2 level
   b. any conflict of interest of the hive inspector must be identified, disclosed and managed to the satisfaction of MAFBNZ.

12.4.3 The approved bee team must ensure that the hive inspector(s) is not placed in a situation which compromises his/her impartiality and independence in the performance of his/her functions as a hive inspector.

12.5  System requirements of approved bee teams

12.5.1 The approved bee team must establish, document and maintain systems and procedures to ensure that only bees that meet the relevant Parts of this OAP, the export requirements, and the import permit (if required) will be presented for export. The
systems and procedures must be fully described in the approved bee team’s work manual.

12.5.2 The work manual must include sections that detail the following:
   a. the name and contact details of the bee team
   b. the name and contact details of hive inspector(s), where required
   c. documented procedures that ensure that:
      i. bees are collected from hives that comply with the export requirements
      ii. bees are collected from hives that comply with the Biosecurity Act 1999
      iii. methods of packaging bees comply with the export requirements
      iv. bees for export are traceable to their hives of origin
      v. record-keeping methods are in place that specify what records must be kept, how, and for how long
      vi. a document control system with the locations of all officially issued copies of the manual is in place. A suitable method must be used to identify the current version of the manual; there must be a back-up system if it is stored electronically.

12.5.3 Internal audits will be undertaken every 12 months, records of the findings kept, and any non-compliances closed out. Reports must be named, signed and dated by the auditor.

12.5.4 Records must be kept for all matters that demonstrate compliance with this Part of the OAP, for a minimum of seven years, and include:
   a. where appropriate, an up-to-date list of hive inspectors and their relevant qualifications and training
   b. compliance with documented procedures
   c. all supporting documentation related to the collection and export of live bees
   d. internal audit reports, all non-compliances identified and the corrective actions taken.

It is recommended that the approved bee team uses a recognised international standard as guidance for developing a quality system.

   e. details of hive examinations in accordance with the export requirements.

12.6 **Export testing**

12.6.1 Any testing specified in the export requirements must be carried out by a laboratory approved by MAFBNZ for requisite export testing.

The Exports Group maintains a list of approved laboratories on the MAFBNZ website along with lists of the testing procedures each laboratory is approved to undertake.

12.7 **Reporting requirements**

12.7.1 Prior to any significant change to the approved bee team’s procedures, the bee team must notify the recognised person.

Significant changes include, but are not limited to, changes to the team, conflict of interest, and procedures.
The recognised person reserves the right to audit such significant changes.

**12.8 Team approvals**

12.8.1 An approval is valid for a maximum of 12 months, or until the approval is surrendered, or cancelled by MAFBNZ.

12.8.2 At the end of the approval period, the team must reapply to maintain continuous approval or their approval lapses.

12.8.3 An approval is subject to audit.

**12.9 Audits**

Audits are undertaken to ensure the integrity of official assurances given to importing countries.

12.9.1 Prior to any audit, the recognised person must obtain:
   a. a list of consignments exported since the last audit, from NZFSA VA
   b. a copy of the relevant sections of the work manual, from the team.

12.9.2 Each bee team must be audited by a recognised person:
   a. before approval to export is given
   b. at least every 12 months thereafter.

12.9.3 Approval to export will require an audit of the written procedures by a recognised person. Following a successful audit, the team will be approved and given its registration number.

12.9.4 Following this approval all supporting documentation of the first two export consignments must be inspected by the recognised person prior to export. In the case of a major non-compliance, all supporting documentation of the next two export consignments must be verified by the recognised person. If any non-compliance is identified in those two export consignments, the full approval status will then be withdrawn.

The register of approved teams will note the dates of approval for each team. Supporting documentation includes, but is not limited to the following: declarations (owners) from the hives of origin regarding bee health status.

12.9.5 Where bees are certified by the bee team using a bee declaration a copy must also be provided to the recognised person at the time of export for verification in accordance with section 5.7.

12.9.6 Audits for continuous approval must meet the following requirements:
   a. be carried out at least every 12 months
   b. be an audit based on this part 12 of the OAP, the bee team’s own work manual as well as all the supporting documentation of two export consignments
   c. where an audit has not been undertaken by the registration expiry date, live bees cannot be exported using a bee declaration. In this instance, an eligibility document will be required for export.
Where audits take place up to one month before registration expires, the new approval period will begin on the original expiry date.
Where audits take place more than one month before registration expires, the new approval period will begin on the date the successful audit was carried out.

12.9.7 Where an approval is surrendered the recognised person must be notified prior to this event.

12.9.8 The process to regain approval is per section 12.9.3. However, if the period of non-approval is greater than two years, sections 12.9.3 and 12.9.4 must apply. Any non-compliance found at the exit audit must be closed out prior to regaining approval.

12.9.9 At the completion of any audit, the recognised person must prepare an audit report in which she/he lists any non-compliance, draws conclusions and make recommendations regarding the approval of the bee team. The report must be completed within 10 working days of the audit, sent to MAFBNZ and made available to the bee team.

12.9.10 Notwithstanding all of the above, MAFBNZ reserves the right to carry out an audit where it is deemed to be necessary.

12.10 Non-compliance

12.10.1 The corrective actions for a critical non-compliance are:
   a. the recognised person must discuss the non-compliance with the bee team manager and document the issue(s)
   b. the non-compliance report must be sent to the Exports Group within 24 hours of completion of the audit. This will lead to immediate suspension of the approval of the bee team
   c. a full investigation by MAF Operational Audit Group, who must provide a report and make recommendations regarding the reinstatement or cancellation of approval of the bee team.

12.10.2 The corrective actions for minor and major non-compliance are:
   a. the recognised person must discuss the non-compliance with the bee team manager, and document the corrective actions agreed upon between the recognised person and bee team manager
   b. a deadline for rectification must be set and agreed
   c. this non-compliance report, using the template in Appendix I, must be sent to the Exports Group within 10 working days of the audit
   d. the corrective action must be checked by the recognised person for compliance within the agreed time frame
   e. all non-compliances closed out must be sent to the Exports Group within 10 working days of the non-compliance being closed out.

12.10.3 After receiving the audit report the Exports Group will update the registration database and notify the bee team and the technical manager of the recognised agency.
## Part 13  Appendix I: Application forms

<table>
<thead>
<tr>
<th>Application Form 1:</th>
<th>Recognised Agency (live animals and germplasm)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application Form 2:</td>
<td>Recognised Person (live animals and germplasm)</td>
</tr>
<tr>
<td></td>
<td>Consent to Disclosure of Information</td>
</tr>
<tr>
<td></td>
<td>Comments of the New Zealand Police</td>
</tr>
<tr>
<td>Application Form 3:</td>
<td>Use of security paper</td>
</tr>
<tr>
<td>Application Form 4:</td>
<td>Use of security seals</td>
</tr>
<tr>
<td>Application Form 5:</td>
<td>Approval for access to export template certificates</td>
</tr>
<tr>
<td>Application Form 6:</td>
<td>Approval of a semen centre</td>
</tr>
<tr>
<td>Application Form 7:</td>
<td>Approval of a semen centre veterinarian</td>
</tr>
<tr>
<td>Application Form 8:</td>
<td>Approval of an embryo team and embryo team veterinarian</td>
</tr>
<tr>
<td>Application Form 9:</td>
<td>Approval for continuously approved pre-export isolation centre</td>
</tr>
<tr>
<td>Application Form 10:</td>
<td>Approval of a bee team</td>
</tr>
<tr>
<td>Declaration Form 1:</td>
<td>Export certification</td>
</tr>
<tr>
<td>Declaration Form 2:</td>
<td>Transportation</td>
</tr>
<tr>
<td>Declaration Form 3:</td>
<td>Pre-export isolation in non-MAF-approved facilities</td>
</tr>
<tr>
<td>Template 1:</td>
<td>Audit Report</td>
</tr>
<tr>
<td>Template 2:</td>
<td>Non-compliance report</td>
</tr>
</tbody>
</table>
Application Form 1: Recognised Agency (live animals and germplasm)

This application for initial and annual recognition as an agency is made under section 102 of the Animal Products Act 1999.

The consent for disclosure form must printed on letterhead paper of the recognised agency, be completed by the director(s) of the recognised agency and returned with the application form. The consent for disclosure form must be completed at each annual application for recognition.

Send the completed application and other appropriate documentation to MAFBNZ, attention: Manager, Exports Group at the above address.

The application fee and assessment fee will be charged each time new functions and activities are applied for.

Where an applicant is refused recognition as an agency, these fees will not be refunded as the work they cover must still be undertaken regardless of outcome.

If there are any changes to the contact details provided in this application subsequent to recognition, the recognised agency must inform the Manager of the Exports Group in writing.

The MAFBNZ conflict of interest policy is available on the MAF website at http://www.biosecurity.govt.nz.

1. **Applicant name** (registered company name or partnership names (including the trading name) or sole trader name)
   - Full legal name of applicant: .................................................................................................................................

2. **Address and contact details of applicant**
   - Physical address (for service): .................................................................................................................................
   - Postal address (for communication): .............................................................................................................................
   - Phone No: ....................................................................................................................................................................
   - Fax No: ........................................................................................................................................................................
   - Email: ........................................................................................................................................................................

3. **Names of directors of the applicant or those responsible for its management or control**
   - List all persons (full legal name): .................................................................................................................................

   Each person listed above must also complete and sign a separate form for Consent for Disclosure of Information provided below.

4. **Name of technical manager:**
   - Full legal name: .............................................................................................................................................................
5. **Functions management table:**

<table>
<thead>
<tr>
<th>List of functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Issuing eligibility documents for all animal species, excluding bees, and germplasm</td>
</tr>
<tr>
<td>2. Issuing eligibility documents for bees and broodcomb</td>
</tr>
<tr>
<td>3. Auditing semen centres and embryo teams and recommending their approval</td>
</tr>
<tr>
<td>4. Approving bee teams and recommending their approval</td>
</tr>
<tr>
<td>5. Approving pre-export isolation facilities</td>
</tr>
<tr>
<td>6. Auditing continuously approved pre-export isolation facilities and recommending their approval</td>
</tr>
<tr>
<td>7. Approving consignment plans</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Names of persons to be recognised</th>
<th>Specified functions (list No’s as above)</th>
</tr>
</thead>
<tbody>
<tr>
<td>e.g. Mary Smith</td>
<td>e.g. 1, 3, 5</td>
</tr>
</tbody>
</table>

6. **Documentation required and to be attached:**

- [ ] Evidence of accreditation to AS/NZS ISO/IEC 17020:2000 and compliance with the independence criteria of a Type A inspection body as described in Appendix A of AS/NZS ISO/IEC 17020:2000, or progress of quality system toward accreditation.

- [ ] Individual Consent for Disclosure forms for all those listed in section 3.

- [ ] A copy of the recognised agency’s annual internal audit.

7. **Applicant declaration:** To be completed by applicant

I declare that:

a. I am authorised to make this application on behalf of the applicant
b. the information supplied in this application is accurate
c. the directors of the applicant or those responsible for its management or control are of good character and reputation; and
d. there is no other information that I am aware of that affects the ability of the applicant to maintain an appropriate degree of impartiality and independence in managing the function(s) and activities for which the applicant has applied to be recognised.

Name(s):

Date:

Designation(s):

Signature:

8. **MAFBNZ fees:**

Recognised agency application fee: $137.25 inc. GST

Assessment fee: $137.25 inc. GST per hour
Application Form 2: Recognised Person (live animals and germplasm)

This application for initial and annual recognition as a person is made under section 102 of the Animal Products Act 1999.

This application form must be completed annually by applicants requiring recognition under section 101 of the Animal Products Act 1999 for functions associated with the export of live animals and animal germplasm. An application fee will be charged annually, but an annual consent to disclosure of information form is not required.

Recognition of a person is granted under section 101 of the Animal Products Act 1999. Under section 105 of the Animal Products Act 1999, the Director-General can specify, in the notice of recognition, conditions on the grant.

The consent for disclosure form must be printed on letterhead paper of the recognised agency and completed by initial applicants only, and returned with the application form.

Send the completed application and other appropriate documentation to MAFBNZ, attention: Manager, Exports Group at the above address.

The application fee and assessment fee will be charged each time new functions and activities are applied for.

Where an applicant is refused recognition as a recognised person, these fees will still be payable as the work they cover must still be undertaken regardless of outcome.

If there are any changes to the contact details provided in this application subsequent to recognition, the recognised agency must inform the Manager of the Exports Group in writing.

The MAFBNZ conflict of interest policy is available on the MAF website at http://www.biosecurity.govt.nz.

1. Applicant name:
   Full name of applicant: .................................................................................................................................

2. Organisation name (where appropriate) - (provide registered company name or partnership names (including the trading name) or sole trader name):
   ...........................................................................................................................................................................
   ...........................................................................................................................................................................
   ...........................................................................................................................................................................

   The use of initials is not permitted. The name will appear on the Notice of Recognition as stated in the application form, including the use of upper and lower case as provided by the applicant.

3. Address and contact details of applicant
   Physical address (for service): ..........................................................................................................................
   Postal address (for communication): ..................................................................................................................
   Phone No: ..................................................................................................................................................
   Mobile No: ..................................................................................................................................................
   Fax No: ..................................................................................................................................................
   Email: .....................................................................................................................................................

4. Recognised agency details
   Recognised agency name: .............................................................................................................................
   Physical address (for service): ..........................................................................................................................
   Postal address (for communication): ..................................................................................................................
   Phone No: ..................................................................................................................................................
5. Functions management table:

<table>
<thead>
<tr>
<th>List of functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Issuing eligibility documents for all animal species, excluding bees, and germplasm</td>
</tr>
<tr>
<td>2. Issuing eligibility documents for bees and broodcomb</td>
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<tr>
<td>3. Auditing semen centres and embryo teams and recommending their approval</td>
</tr>
<tr>
<td>4. Approving bee teams and recommending their approval</td>
</tr>
<tr>
<td>5. Approving pre-export isolation facilities</td>
</tr>
<tr>
<td>6. Auditing continuously approved pre-export isolation facilities and recommending their approval</td>
</tr>
<tr>
<td>7. Approving consignment plans</td>
</tr>
</tbody>
</table>

| Names of person to be recognised (list No’s as above)                                                                 |
| NAMES OF PERSON TO BE RECOGNISED (LIST NO’S AS ABOVE) |
| Evidence of competency and date(s) of assessment by the recognised agency (refer to section 4.10-4.17 of the OAP). |
| Evg. Mary Smith                                                                                                             |
| e.g. 1                                                                                                                      |
| e.g. Provide documentation to show that the requirements of 4.10 of the OAP have been met.                               |

If the organisation name and contact details provided in section 2 are the same as the recognised agency, then only provide the recognised agency name. If the name and contact details of the recognised agency differ from that provided in sections 2, then provide the name and contact details of the recognised agency.

6. Applicant declaration: To be completed by the applicant.

I declare that:

a. the information supplied in this application is accurate
b. I am of good character and reputation
c. in the year between the date of submission of my previous application and the date of submission of this application, I have not been charged with a crime and have no convictions pending*
d. I have read and understood the MAFBNZ conflict of interest policy
e. I confirm (please tick) that:
   □ I do not have any conflict of interest that would prevent me certifying live animals and germplasm for export, and
   □ I will avoid conflicts of interest with my professional duties under the Official Assurance Programme wherever possible, and where this is not possible I will declare them fully and promptly so that they can be effectively managed to the satisfaction of MAFBNZ
f. there is no other information that I am aware of that affects my ability to carry out the function(s) and activities as an recognised person.

* applies to applications for initial recognition only.

Name: 

Date: 

Designation(s): 

Signature: 

7. Recognised agency declaration: To be completed by the recognised agency recommending the applicant for recognition.
I declare that this recognised agency has completed a thorough assessment of the competency of this applicant to perform the functions for which recognition is requested. I am also satisfied that the applicant is of good character and reputation, and should be recognised to perform the functions listed above.

Name:

Date:

Designation(s):

Signature:

This declaration must be completed by a staff member of the recognised agency with delegated authority to make declarations on behalf of the agency for any person for whom recognition is being sought.

8. **MAFBNZ fees:**

   Recognised person application fee: $137.25 inc. GST

   Assessment fee: $137.25 inc. GST per hour
CONSENT TO DISCLOSURE OF INFORMATION

Licensing & Vetting Service Centre
Office of the Commissioner
PO Box 3017
WELLINGTON

I,...........................................................................................................................................
(Surname)     (Fore Names)
......................................................................................................................................................
(Maiden or any other names used)
Sex.........(M/F) Date and place of birth.................................................................

Nationality..................................... Residential Address.......................................................

Suburb........................................   City.......................................................................................

NZ Driver Licence number .......................................................................................................

hereby consent to the disclosure by the New Zealand Police of any information they may have pursuant
to this application, to MAFBNZ. I understand that any record of criminal convictions I might have will
automatically be concealed if I meet the eligibility criteria stipulated in Section 7 of the Criminal

Signed.................................................  Date.................................................................. .

COMMENTS OF THE NEW ZEALAND POLICE

NOTE: This page must be printed on letterhead paper
Collection of Personal Information on Individuals

In regard to any information being collected on this application for recognition as an agency or person, pursuant to the Animal Products Act 1999 (that is personal information identifying or being capable of identifying an individual person), notification is provided, in accordance with principle 3 of the Privacy Act 1993, to individuals of the following matters:

1. This information is being collected for purposes relating to the application for recognition and general administration of recognised agencies under the Animal Products Act 1999.

2. The recipient of this information, which is also the agency that will collect and hold the information, is the Ministry of Agriculture and Forestry Biosecurity New Zealand (MAFBNZ), PO Box 2526, Wellington.

3. The collection of information is authorised under section 102 of the Animal Products Act 1999. The provision of this information is necessary in order to process this application. Failure to provide information is likely to result in the return of this application form to the applicant.

4. You are reminded that under Principles 6 and 7 of the Privacy Act 1993, you have the right of access to, and correction of, any personal information that has been provided.
Application Form 3: Use of security paper

Send the completed application and other appropriate documentation to the Manager Exports Group.

If there are any changes to the details provided in this application subsequent to registration, the applicant must inform the Manager, Exports Group, in writing immediately.

Please obtain the latest copy of the application form from the MAFBNZ website at: http://www.biosecurity.govt.nz

Name of exporter: ............................................................................................................. ...................................
Telephone number of exporter: ................................................................................................. ..........................
Address of exporter: .......................................................................................................... ..................................
Email address of exporter: .................................................................................................... ...............................
Registration number of exporter: .............................................................................................. ...........................

I, ................................................................., declare that:

a. I am applying for approval to hold security paper
b. I have read and understood the relevant Parts of this OAP and in particular section 5.11
c. I undertake to inform the Manager, Exports Group, if any details provided on this form change
d. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Exporter’s signature: ................................................................. Date: .........................

Exports Group Use Only

θ Approved

Signature: ................................................................. Date: .........................
Application Form 4: Use of security seals

Send the completed application and other appropriate documentation to the Manager Exports Group, MAFBNZ.

If there are any changes to the details provided in this application subsequent to registration, the applicant must inform the Manager Exports Group, MAFBNZ immediately.

Please obtain the latest copy of the application form from the MAFBNZ website at: http://www.biosecurity.govt.nz

Name of exporter: ...................................................................................................................
Telephone number of exporter: ....................................................................................................
Address of exporter: ...........................................................................................................
Email address of exporter: ....................................................................................................
Registration number of exporter: ............................................................................................

I, ........................................................................................................, declare that:

a. I am applying for approval to hold security seals
b. I have read and understood the relevant Parts of this OAP and in particular section 5.12
c. I undertake to inform the Manager of the Exports Group, MAFBNZ, if any details provided on this form change
d. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Exporter’s signature: .......................................................... Date: ...........................

Exports Group Use Only

θ Approved

Signature: .......................................................... Date: ...........................
Application Form 5: Approval for access to export certificate templates

Access to export certificate templates is available upon application to semen centre and embryo team veterinarians and registered exporters. See section 5.13 of the OAP

Send the completed application form together with the fee and other appropriate documentation to the Manager, Exports Group at the above address.

If there are any changes to the contact details provided in this application subsequent to registration, the applicant must immediately inform the Manager, Exports Group in writing.

Please obtain the latest copy of the application form from the MAFBNZ website at: [http://www.biosecurity.govt.nz](http://www.biosecurity.govt.nz)

Name of exporter: ............................................................................................................. ...................................
Telephone number of exporter: ................................................................................................. ..........................
Address of exporter: .......................................................................................................... ..................................
Email address of exporter: .................................................................................................... ...............................
Registration number of exporter: .............................................................................................. ...........................

I, .................................................................., declare that:

a. I am applying for approval for access to the export certificate template site

b. I have read and understood the relevant Parts of the OAP and in particular section 5.13

c. I undertake to inform the Manager, Exports Group, if any details provided on this form change

d. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Exporter’s signature: ................................................................. Date: .......................
Application Form 6: Approval of a semen centre

Send the completed application and other appropriate documentation to the technical manager of the recognised agency. A recognised person will carry out an audit of the semen centre and make a recommendation for approval, as appropriate, to the Manager, Exports Group.

If there are any changes to the details provided in this application subsequent to registration, the applicant must immediately inform the recognised person in writing.

Please obtain the latest copy of the application form and the MAFBNZ conflict of interest policy from the MAFBNZ website at: http://www.biosecurity.govt.nz

| Name of semen centre: | ............................................................................................................... |
| Name of semen centre manager: | ........................................................................................................ |
| Telephone number of semen centre: | ........................................................................................................ |
| Address of semen centre: | ............................................................................................................... |
| Email address of semen centre: | ........................................................................................................ |
| Registration number: | ............................................................................................................... |

I, ....................................................................................... the centre manager at: ..........................................................

semen centre declare that:

a. I am applying for approval for the following:

   □ collection and processing of the following species:

      □ bovine
      □ small ruminant
      □ cervine
      □ equine
      □ other – please specify ..........................................

   □ storage
   Note: an approval for storage only does not require specification of species.

   □ isolation

b. I have read and understood the relevant Parts of this OAP

c. I have read and understood the MAFBNZ conflict of interest policy

d. I confirm (please tick) that:

   □ The centre veterinarian(s) is granted full and unreserved authority by centre management to take any action required to protect the compliance status of the centre and has full and free independence to undertake export certification activity and to direct any activity in order to support and enhance certification accuracy and integrity.

e. I undertake to inform the recognised person responsible for the semen centre named above if any details provided on this form change.

f. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.
For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Semen centre manager’s signature: ............................................................ Date: .......................... ..

Recognised agency use only

0 Approved

0 Referred to Exports Group (report attached)

Recognised persons’s signature: ............................................................ Date: .......................... ..
Application Form 7: Approval of a semen centre veterinarian

Send the completed application and other appropriate documentation to the technical manager of the recognised agency. A recognised person will carry out an audit of the semen centre veterinarian and make a recommendation for approval, as appropriate to the Manager, Exports Group.

If there are any changes to the details provided in this application subsequent to recognition, the applicant must immediately inform the recognised person in writing.

Please obtain the latest copy of the application form and the MAFBNZ conflict of interest policy from the MAFBNZ website at: http://www.biosecurity.govt.nz

Name of semen centre veterinarian: ............................................................................................ ........................
Veterinary Council registration number: ............................................................................................................
Telephone number of semen centre veterinarian: ................................................................................................
Address of semen centre veterinarian: .................................................................................................................
Email address of semen centre veterinarian: .......................................................................................................
Name and address of semen centre: ............................................................................................. ....................... 

I, ............................................................................., the centre veterinarian at .............................................. semen centre declare that:

a. I am a veterinarian registered with the Veterinary Council of New Zealand
b. I hold a current annual practising certificate as required under Part I of the Veterinarians Act 2005
c. I am not, and have not been, subject to any punitive action by the Veterinary Council of New Zealand
d. I have read and understood the following documents:
   i. the Code of Professional Conduct for Veterinarians
   ii. the relevant Parts of this OAP
   iii. the centre’s own work manual
   iv. the MAFBNZ conflict of interest policy
   v. any relevant export requirements
   vi. section 3.2 (collection and processing of semen) and section 1.2 (obligations and ethics in international trade) of the OIE Code

e. I confirm (please tick) that:
   □ I do not have any conflict of interest that would prevent me certifying germplasm for export
   □ I will avoid conflicts of interest with my professional duties under the Official Assurance Programme wherever possible, and where this is not possible I will declare them fully and promptly so that they can be effectively managed to the satisfaction of MAFBNZ

f. I assent that I am granted full and unreserved authority by the semen centre management to take any action required to protect the compliance status of the semen centre, and have full and free independence
to undertake export certification activity, and to direct any activity in order to support and enhance certification accuracy and integrity

g. I undertake to inform the recognised person responsible for the semen centre named above if any details provided on this form change

h. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Semen centre veterinarian’s signature: .............................................................. Date: .......................  

Recognised agency use only

θ Approved

θ Referred to Exports Group (report attached)

Recognised persons’s signature: .............................................................. Date: .......................
# Application Form 8: Approval of an embryo team and embryo team veterinarian

Send the completed application and other appropriate documentation to the technical manager of the recognised agency. A recognised person will carry out an audit of the embryo team and make a recommendation for approval, as appropriate to the Manager, Exports Group.

If there are any changes to the details provided in this application subsequent to recognition, the applicant must immediately inform the recognised person in writing.

Please obtain the latest copy of the application form and the MAFBNZ conflict of interest policy, from the MAFBNZ website at: [http://www.biosecurity.govt.nz](http://www.biosecurity.govt.nz)

A separate application is required where an embryo team veterinarian is responsible for more than one embryo team.

<table>
<thead>
<tr>
<th>Name of embryo team veterinarian:</th>
<th>..........................................................................................</th>
</tr>
</thead>
<tbody>
<tr>
<td>Veterinary Council registration number:</td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Telephone number of embryo team veterinarian:</td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Address of embryo team veterinarian:</td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Email address of embryo team veterinarian:</td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Name and address of embryo team:</td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Registration number:</td>
<td>..................................................................................</td>
</tr>
</tbody>
</table>

### a. I am applying for approval for the following:

- □ collection and processing of the following species:
  - □ bovine
  - □ small ruminant
  - □ cervine
  - □ equine
  - □ other – please specify ..............................................

- □ storage
  
  Note: an approval for storage only does not require specification of species.

- □ isolation

I, ............................................................................., the embryo team veterinarian declare that:

### b. I am a veterinarian registered with the Veterinary Council of New Zealand

### c. I hold a current annual practising certificate as required under Part I of the Veterinarians Act 2005

### d. I am not, and have not been, subject to any punitive action by the Veterinary Council of New Zealand

### e. I have read and understood the documents:

  - i. the Code of Professional Conduct for Veterinarians
  - ii. the relevant Parts of this OAP
  - iii. the team’s own work manual
  - iv. the MAFBNZ conflict of interest policy
v. any relevant export requirements
vi. the latest version of the IETS Manual
vii. section 3.3 (collection and processing of embryos/ova), and section 1.2 (obligations and ethics in international trade) of the OIE Code

f. I confirm (please tick) that:
   □ I do not have any conflict of interest that would prevent me certifying germplasm for export
   □ I will avoid conflicts of interest with my professional duties under the Official Assurance Programme wherever possible, and where this is not possible I will declare them fully and promptly so that they can be effectively managed to the satisfaction of MAFBNZ

g. I assent that I am granted full and unreserved authority by embryo team management to take any action required to protect the compliance status of the embryo team and have full and free independence to undertake export certification activity and to direct any activity in order to support and enhance certification accuracy and integrity

h. I undertake to inform the recognised person responsible for the embryo team named above if any details provided on this form change

i. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Embryo team veterinarian’s signature: ................................................................. Date: ...............
# Application Form 9: Approval for continuously approved pre-export isolation facility

Send the completed application and other appropriate documentation to the technical manager of the recognised agency. A recognised person will carry out an audit of the facility and make a recommendation for approval, as appropriate to the Manager, Exports Group.

If there are any changes to the details provided in this application subsequent to recognition, the applicant must immediately inform the recognised person in writing.

Please obtain the latest copy of the application form and the MAFBNZ conflict of interest policy from the MAFBNZ website at: [http://www.biosecurity.govt.nz](http://www.biosecurity.govt.nz)

| Name of pre-export isolation facility manager: | ................................................................. |
| Name and address of pre-export isolation facility: | ................................................................. |
| Email address of pre-export isolation facility manager: | ................................................................. |

I, ............................................................................., the pre-export isolation facility manager at ..............................................................................., declare that:

a. I have read and understood the following documents:
   i. the relevant Parts of this OAP
   ii. the MAFBNZ conflict of interest policy
   iii. any relevant export requirements

b. I confirm (please tick) that:
   - [ ] I do not have any conflict of interest that would prevent me from isolating live animals for export
   - [ ] I will avoid conflicts of interest with my professional duties under the Official Assurance Programme wherever possible, and where this is not possible I will declare them fully and promptly so that they can be effectively managed to the satisfaction of MAFBNZ

c. I undertake to inform the recognised person responsible for the pre-export isolation facility named above if any details provided on this form change

d. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Pre-export isolation facility manager’s signature: .................................................................  Date: ..................
Recognised agency use only

θ Approved

θ Referred to Exports Group (report attached)

Recognised person’s signature: ........................................................ Date: .................................
Application Form 10: Approval of a bee team

Send the completed application and other appropriate documentation to the technical manager of the recognised agency. A recognised person will carry out an audit of the bee team and make a recommendation for approval, as appropriate to the Manager, Exports Group.

If there are any changes to the details provided in this application subsequent to registration, the applicant must immediately inform the recognised person in writing.

Please obtain the latest copy of the application form and the MAFBNZ conflict of interest policy, from the MAFBNZ website at: http://www.biosecurity.govt.nz

Name of bee team: ...................................................................................................................
Name of bee team manager: .......................................................................................................
Telephone number of bee team: ..................................................................................................
Address of bee team: ..............................................................................................................
Email address of bee team: .....................................................................................................
Registration number: ...........................................................................................................

I, ....................................................................................., the bee team manager at .............................................................,
declare that:

a. I am applying for approval for the following:
   □ collection, processing and export of live and queen bees

b. I have read and understood the following documents:
   i. the relevant Parts of this OAP
   ii. the MAFBNZ conflict of interest policy
   iii. any relevant export requirements

c. I confirm (please tick) that:
   □ I do not have any conflict of interest that would prevent me from providing bees for export
   □ I will avoid conflicts of interest with my professional duties under the Official Assurance Programme wherever possible, and where this is not possible I will declare them fully and promptly so that they can be effectively managed to the satisfaction of MAFBNZ

d. I undertake to inform the recognised person responsible for the bee team named above if any details provided on this form change

e. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Bee team manager’s signature: .................................................. Date: .....................
Recognised agency use only

0 Approved

0 Referred to Exports Group (report attached)

Recognised person’s signature: ..........................................................  Date: ..........................
Declaration Form 1: Export certification

<<type>> DECLARATION FOR <<commodity>> TO <<country>>

______________________________  ______________________________
(given name and surname)        (address)

being the

denominator(s) of the animal(s) identified below, hereby

(e.g. owner, breeder, transporter, veterinarian in charge)

declare, with respect to that/those animal(s):

<<Insert information to be declared. This may be all or part of an export certificate clause(s). Include spaces for dates procedures were undertaken; trade names, active ingredients and dose rates of treatment; manufacturer’s details, batch numbers and sites for vaccinations; places and sites of sample collections; places where inspections of animals or premises were undertaken, etc. to be filled in.>>

Additional information:

<<Insert any additional information gathered to support the declaration (see section 1.5 Interpretation of export requirements)>>

Description/Identification of animal(s):

<<Insert animal identification section from the first page of the export certificate template>>

Country of destination: __________________________

Scheduled date of export: __________________________

• The information that I have provided is true, correct and complete in every particular.
• I have checked the identification of the animal(s) for which I am providing this declaration and it is as specified in this declaration.
• I am aware that this declaration is made for the purposes of supporting export certification under the Animal Products Act 1999.
• I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Signature: __________________________  Date: __________________________

Organisation name (where applicable): __________________________

Telephone: __________________________  Facsimile: __________________________
Declaration Form 2: Transportation

(given name and surname).................................................................................................................................

(address)..............................................................................................................................................................

being the Transporter of the animal(s) identified below, hereby

(e.g. owner, breeder, transporter, veterinarian in charge)

declare, with respect to that/those animal(s):

• the vehicles/containers for the transportation of the animal(s) were cleaned and disinfected, using a MAF approved disinfectant prior to loading of the animal(s)

• the animal(s) was/were sent directly from the pre-export isolation facilities to the point of export and, during transport, had no contact with animal(s) of a lesser health status.

Additional information:

Method of disinfection:...........................................................................................................................................

Disinfectant used:..................................................................................................................................................

Departure time from premises of origin:....................................................................................................................

Arrival time at port of export....................................................................................................................................

Description/Identification of animal(s):

<<Insert animal identification section from the first page of the export certificate template>>

Country of destination:..............................................................................................................................................

Scheduled date of export:..........................................................................................................................................

The information that I have provided is true, correct and complete in every particular.

I have checked the identification of the animal(s) for which I am providing this declaration and it is as specified in this declaration.

I am aware that this declaration is made for the purposes of supporting export certification under the Animal Products Act 1999.

I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

Signature:..................................................................................................................................................................

Date:........................................................................................................................................................................

Organisation name (where applicable):......................................................................................................................

Telephone:...............................................................................................................................................................

Facsimile:................................................................................................................................................................
Declaration Form 3: Pre-export isolation in non-MAF-approved facilities

At the end of the isolation period, a declaration must be supplied by the exporter to the recognised person as supporting documentation relating to the isolation of the consignment.

______________________________  ________________________________
(given name and surname)             (address)

being the Exporter of the animal(s) identified below, hereby declare, with respect to that/those animal(s), :

- isolation has been carried out in facilities that meet the requirements of sections 10.16 to 10.19 of the OAP
- any testing, treatments, inspections and examinations relating to these animals has been carried out
- a recognised person inspected the facility prior to, or at, the beginning of the required isolation period.

Description/Identification of animal(s):

<<Insert animal identification section from the first page of the export certificate template>>

Date(s) of arrival: ___________________________    Date(s) of departure: ___________________________

Country of destination: ___________________________    Scheduled date of export: ___________________________

- The information that I have provided is true, correct and complete in every particular.
- I have checked the identification of the animal(s) for which I am providing this declaration and it is as specified in this declaration.
- I am aware that this declaration is made for the purposes of supporting export certification under the Animal Products Act 1999.
- I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) makes it an offence for a person to deceive under this Act.

For the wording of section 127(1) of the Act see clause 1.3.8 of this OAP.

______________________________  ________________________________
Signature:                                 Date:

Organisation name (where applicable):

Exporter registration number:

Telephone:                               Facsimile:
Template 1: Audit report from recognised agency

1. Auditee information:

   Registration number:

   Name of approved semen centre/embryo team, pre-export isolation facility or bee team: ......................

   Name of approved semen centre/embryo team veterinarian, pre-export isolation facility manager, or bee team manager: ........................................................................................................................................

   Recognised person: ................................................................................................................................................

2. Inspection date:

3. Expiry date of registration:

4. Recommendation:

5. Details of audit to be attached.

6. Non-compliance report to be attached where applicable (see template 2).
Template 2: Non-compliance report

1. Auditee information:

   Registration number: .........................................................................................................................

   Name of semen centre/embryo team/pre-export isolation facility/bee team: ............................................

   Name of approved semen centre/embryo team veterinarian, pre-export isolation facility manager, or bee team manager: ....................................................................................................................................

   Recognised person: ...........................................................................................................................

2. Inspection date:

3. Expiry date of approval:

4. Type of non-compliance (tick as appropriate):

   Critical Non-compliance □  Major non-compliance □  Minor non-compliance □

5. Description of non-compliance:

   ..................................................................................................................................................................
   ..................................................................................................................................................................
   ..................................................................................................................................................................
   ..................................................................................................................................................................
   ..................................................................................................................................................................

6. Agreed corrective action:

   ..................................................................................................................................................................
   ..................................................................................................................................................................
   ..................................................................................................................................................................
   ..................................................................................................................................................................
   ..................................................................................................................................................................

7. Date for completion of corrective action:
8. **Audit of corrective action**

The action taken to correct the above non-compliance has been satisfactorily dealt with and the semen centre/embryo team/pre-export isolation facility/bee team is now in compliance with the issue(s), which is (are) the subject(s) of this corrective action notice.

Signature of recognised person: Date

Signature of semen centre/embryo team veterinarian, pre-export isolation facility manager, or bee team manager: Date

or

The semen centre/embryo team, pre-export isolation facility, or bee team is still in non-compliance and a new corrective action request has been issued.

Signature of recognised person: Date

Signature of semen centre/embryo team veterinarian, pre-export isolation facility manager, or bee team manager: Date