Official Assurance Programme

Requirements for Export of Live Animals and Germplasm

1 June 2010
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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, the 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 2 of 9 December 2008.

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A copy of this document can be found at: http://www.biosecurity.govt.nz
Microsoft Word versions of the Appendix forms are available on this website.
If you have any queries, please contact: animalexports@maf.govt.nz

Amendment Record

<table>
<thead>
<tr>
<th>Amendment No.</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Clause 1.3.1 has been amended to describe more fully the purpose of the Animal Products Act 1999.</td>
<td>9 December 2008</td>
</tr>
<tr>
<td>2. Figure 1. The role “approve pre-export isolation facilities and isolation plans” has been added for the recognised agencies and persons.</td>
<td>9 December 2008</td>
</tr>
<tr>
<td>3. Definition: technical manager. Additional clause relating to the technical manager being the recognised agency’s point of contact with MAFBNZ.</td>
<td>9 December 2008</td>
</tr>
<tr>
<td>4. Interpretation: Freedom from disease: clause “the area to which the term ‘freedom from disease’ applies”.</td>
<td>9 December 2008</td>
</tr>
<tr>
<td>5. A new clause 3.2.9 has been added requiring the recognised agency to provide to MAFBNZ a controlled copy of their systems and procedures.</td>
<td>9 December 2008</td>
</tr>
<tr>
<td>6. Clause 3.5.1 (c) “and notification of the results of this audit to the Animal Imports and exports Group within 15 working days of its completion” has been deleted, as this is covered in reporting Table 3.1.</td>
<td>9 December 2008</td>
</tr>
<tr>
<td>7. Table 3.1 has the following reporting added: “Significant updates to the controlled copy of the recognised agency’s systems and procedures”.</td>
<td>9 December 2008</td>
</tr>
<tr>
<td>Clause</td>
<td>Description</td>
</tr>
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</tr>
<tr>
<td>8.</td>
<td>Clauses 4.13.1 (e), 4.14.1 (d), and 4.17.1 (d) clarify the time period for the audit requirement: “…have carried out within a 12 month period at least two audits…”.</td>
</tr>
<tr>
<td>9.</td>
<td>Clause 4.16.1(e) clarifies the time period for the audit requirement (as above) and also clarifies supervision required and the competency requirements of the supervising recognised person “have, within a 12 month period, carried out at least two approvals of pre-export isolation facilities and isolations plans under the direct supervision of a recognised person. The supervising recognised person must be recognised for the function of approving pre-export isolation facilities and isolation plans”.</td>
</tr>
<tr>
<td>10.</td>
<td>Clause 5.10.3 (b) has been deleted and a new clause 5.10.4 inserted for requirements for declarations relating to verification of identification of animals and verification of identification of farm/premises/herd/flock.</td>
</tr>
<tr>
<td>11.</td>
<td>Clause 6.5.4 amended to “authorisations relating to visitor and vehicle entry to the centre”.</td>
</tr>
<tr>
<td>12.</td>
<td>Section 6.12 has been amended to apply only to the endemic diseases listed in 6.10 and to provide the Animal Imports and Exports Group with discretion as to the degree of suspension, the nature of any notification to importing countries, and the lifting of any suspension or termination, dependent upon the results of the investigation. Additional tests are now specified as per clause 6.10.2.</td>
</tr>
<tr>
<td>13.</td>
<td>Clause 6.14.1 (d) and 6.15.1 (f) has been amended to clarify and provide for appropriate techniques of cleaning and sterility as appropriate to the instrument and its degree of contact with semen. Similarly clauses 8.7.1 (d); 8.8.1 (f) for embryos during collection and processing.</td>
</tr>
<tr>
<td>14.</td>
<td>Sections 7.2, 9.1 and application forms 7 and 8 have been amended to reflect the current version of the OIE Code.</td>
</tr>
<tr>
<td>15.</td>
<td>Clause 7.2.1 (d), 9.1.1 (e) and 11.3.2 have been amended to include a reference to the Conflict of Interest declaration form.</td>
</tr>
<tr>
<td>16.</td>
<td>Clause 7.3.1 (e) and 9.2.1 (i) have been amended to provide for the situations where non veterinary staff members carry out activities: “ensure that animal intervention(s) or manipulation(s) undertaken by lay persons, comply with the Code of Professional Conduct for Veterinarians, issued by the Veterinary Council of New Zealand”.</td>
</tr>
<tr>
<td>17.</td>
<td>Clause 7.5.4 has been amended to clarify the audit frequency of a centre veterinarian “Once the centre veterinarian has been approved, the recognised person must re-assess him/her at least once every 12 months”.</td>
</tr>
<tr>
<td>18.</td>
<td>Sections 10.6, 10.7 2 (d) 10.1, 10.18.12 and 10.19 have been amended to provide for the situation where planned offloading of animals into appropriate facilities is required during their journey to the port of departure.</td>
</tr>
<tr>
<td>19.</td>
<td>Application forms 6, 7 and 8 have been amended to record the recognised person’s recommendation for approval.</td>
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<tr>
<td>20.</td>
<td>Application forms 7, 8 and 10 have been amended to include the statement “I have managed my conflict(s) of interest to the satisfaction of MAFBNZ (please attach signed declaration form from MAFBNZ)”</td>
</tr>
<tr>
<td>21.</td>
<td>A Conflict of Interest declaration form has been inserted.</td>
</tr>
<tr>
<td>22.</td>
<td>A new declaration form 2 provides for Export certification for farm/premises/herd/flock of origin. New declaration form 3 is amended to include the method of disinfection and concentration of disinfectant.</td>
</tr>
<tr>
<td>23.</td>
<td>The Amendment Record table has been amended by removing the column for “Initials”.</td>
</tr>
<tr>
<td>24.</td>
<td>References to forms in text have been amended to include the number and full title of the form (which are located in Appendix I).</td>
</tr>
<tr>
<td>25.</td>
<td>Section 1.1.3 has been amended, following legal review, that the OAP applies only to official assurances as the APA powers and functions may only be exercised in relation to the export of live animals (other than live animals which are themselves the object of any primary processing under the APA) and germplasm.</td>
</tr>
<tr>
<td>26.</td>
<td>Definitions of “closed out”, “controlled copy”, “consignment”, “consolidated consignment”, “competence”, “embryo team”, “EU OMAR”, “IETS Manual”, “ISO17020”, “large consignment”, “lot”, OIE code”, OIE manual”, “recognised agency”, “recognised person”, “semen centre”, “technical manager”, “transit official assurance”, have been added or amended. The term “export requirement” has been inter-changed with “Export Requirement” where appropriate.</td>
</tr>
<tr>
<td>27.</td>
<td>An interpretation for “fully vaccinated” has been added</td>
</tr>
<tr>
<td>28.</td>
<td>Section 2.1.5 has been amended to include the exporter must have a sound knowledge of export requirements and import requirements.</td>
</tr>
<tr>
<td>29.</td>
<td>Section 2.1.10 has been amended to include where an import permit requirement does not correspond with Export Requirements.</td>
</tr>
<tr>
<td>30.</td>
<td>Section 2.1.19, 6.20.1, 8.12.3 and 11.6.1 have been amended to provide for the transitional phase of the implementation of the Export Laboratory Programme by using both terms “recognised” and “approved”.</td>
</tr>
<tr>
<td>31.</td>
<td>Section 2.1.20 has been removed but a guidance text box inserted for a list of approved laboratories for export testing.</td>
</tr>
<tr>
<td>32.</td>
<td>Sections 2.2.4 &amp; 2.2.5 have been re-worded using the term “transport vehicle” rather than “truck”.</td>
</tr>
<tr>
<td>33.</td>
<td>Part 3 has been amended to include the phrase ‘relation to Export Requirements for live animals and germplasm’, and approval’ replaced with ‘recognition’ or ‘registration’, where appropriate.</td>
</tr>
<tr>
<td>34.</td>
<td>Section 3.1.1 has been amended to include requirements for internal audits, payment of fees/charges and the technical manager as the contact point.</td>
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<tr>
<td>35.</td>
<td>Section 3.1.2(a) and (b) have been re-worded to match similar text in other areas of the OAP, for example 4.9.1(a) and (b). This wording has also be transferred into application forms 1 and 2. 1 June 2010</td>
</tr>
<tr>
<td>36.</td>
<td>Section 3.2 has been amended to remove clauses 3.2.4, 3.2.5, 3.2.7, 3.2.8. These procedural steps are now managed through a memorandum of understanding with the accreditation agency. 1 June 2010</td>
</tr>
<tr>
<td>37.</td>
<td>Section 3.9.1 has been amended to include any specification and conditions of recognition. 1 June 2010</td>
</tr>
<tr>
<td>38.</td>
<td>Section 3.9.4 has had “specifications” added. 1 June 2010</td>
</tr>
<tr>
<td>39.</td>
<td>Section 3.9.6 has been amended with the phrase “who are performing relevant functions”. 1 June 2010</td>
</tr>
<tr>
<td>40.</td>
<td>Section 3.12.1 has been amended to include “cessation of verification services in relation to Export Requirements…” . 1 June 2010</td>
</tr>
<tr>
<td>41.</td>
<td>Section 3.14 has been amended to alter the wording of the phrase recognised agencies are permitted to use and any use of a logo. 1 June 2010</td>
</tr>
<tr>
<td>42.</td>
<td>Section 3.15 has been amended to describe “Information” rather than confidentiality. 1 June 2010</td>
</tr>
<tr>
<td>43.</td>
<td>Section 3.18.2 has been amended to include “records”. 1 June 2010</td>
</tr>
<tr>
<td>44.</td>
<td>Table 3.1 has been amended with new requirements for approval audits, germplasm delarations/bee declarations, and expansion of information on pre-export isolation facility(s), recognised agency’s systems and procedures, and foot note 4. 1 June 2010</td>
</tr>
<tr>
<td>45.</td>
<td>Part 4 has been amended to include the phrase ‘relation to Export Requirements for live animals and germplasm’, ‘service’, and approval’ replaced with ‘recognition’ where appropriate. 1 June 2010</td>
</tr>
<tr>
<td>46.</td>
<td>Section 4.10.1 has been amended to include the word “current” in referring to documents and re-worded the description for departmental li    i 1 June 2010</td>
</tr>
<tr>
<td>47.</td>
<td>Section 4.15 has been amended to “MAF-approved” pre-export isolation facilities. 1 June 2010</td>
</tr>
<tr>
<td>48.</td>
<td>Section 5.1.2 has been amended to remove 5.1.2(a). 1 June 2010</td>
</tr>
<tr>
<td>49.</td>
<td>Section 5.1.5(b) has been amended to include that an eligibility document for the transferred germplasm must be provided by the recognised person to the receiving centre/team prior to export of the germplasm. 1 June 2010</td>
</tr>
<tr>
<td>50.</td>
<td>Section 5.1.5(f) has been amended to include the words “i.e. ruled off using a diagonal line”. 1 June 2010</td>
</tr>
<tr>
<td>51.</td>
<td>Sections 5.1.12 &amp; 5.1.13 have been re-worded to “The authorised person must ensure that…” 1 June 2010</td>
</tr>
</tbody>
</table>
52. Section 5.3.2 has been amended to remove 5.3.2(a), which has been moved to 7.2.1 and 9.1.1 as this is interpreted as an overall requirement, for example a semen centre veterinarian, as compared to a requirement for a germplasm declaration. 1 June 2010

53. Section 5.3.4(b) has been amended to include that a germplasm declaration for the transferred germplasm must be provided by that centre/team to the receiving centre/team prior to export of the germplasm. 1 June 2010

54. Section 5.3.11 & 5.3.12 have been re-worded to “The authorised person must ensure that…”. 1 June 2010

55. Section 5.4.1 has been re-worded to “the semen centre/embryo team veterinarian must ensure that…”. 1 June 2010

56. Section 5.4.2 has been amended that the recognised person must randomly choose and verify at least 1 germplasm declaration from each semen centre/embryo team per quarter. 1 June 2010

57. Section 5.5.1 has been reworded to “A recognised or authorised person who detects…”. 1 June 2010

58. Section 5.5.2 has been re-worded to define any “person who detects” a non-compliance must do so in writing within 48 hours. 1 June 2010

59. Section 5.7.2 has been amended to remove 5.7.2(a). 1 June 2010

60. Sections 5.9.1 and 5.9.2 have been re-worded to define what a person is responsible for when a non-compliance is detected. 1 June 2010

61. Section 5.10 is a new section describing where a number of lots from more than one approved semen centre or embryo team is consolidated under one official assurance. 1 June 2010

62. Section 5.11.5 has been amended to include “Appendix I provides templates for a series of declarations”. 1 June 2010

63. Section 5.12.2(a) has been re-worded to “routinely preclude consignment being”. 1 June 2010

64. Section 5.12.2(c) has been re-worded to include “registration has been granted”. 1 June 2010

65. Section 5.13 has been amended to include where an authorised person may direct the sealing of a cage. 1 June 2010

66. Section 5.15.1(d) and (e) have been amended to include what information needs to be in typeface, and describes when handwritten changes are permissible with a guidance text box of examples. 1 June 2010

67. Sections 5.16.2 and 5.17.2 have been inserted “The Director-General reserves the right to reject equivalence requests on a case-by-case basis.” 1 June 2010

68. Sections 5.16.3 and 5.17.3 have been amended inserting “requesting” for “allowing”. 1 June 2010
<table>
<thead>
<tr>
<th>Section</th>
<th>Amendment Description</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.16.4</td>
<td>Section 5.16.4 has been amended to include “the exporter must request”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>5.18.16</td>
<td>Section 5.18.16 has been amended to “The authorised person must undertake…”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>5.18.17</td>
<td>Section 5.18.17 has been amended to “The authorised person or recognised person, as appropriate, must, prior to loading, remove from the consignment…”</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>5.20</td>
<td>Section 5.20 has been amended to include “withdrawn” or “withdrawal”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>5.20.3</td>
<td>Guidance text box has been amended to include any associated costs and where the authorised person is responsible for replacement of an official assurance to the importing country.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>5.20.6</td>
<td>Section 5.20.6 has been amended to include “The exporter must ensure that, where possible…”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>5.21.1</td>
<td>Section 5.21.1 has been amended to include where a consignment has been consolidated the final germplasm declaration must be kept.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>5.21.3</td>
<td>Section 5.21.3 has been amended to include “required to be kept under the OAP”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.5.2(d)</td>
<td>Section 6.5.2(d) has been amended to include (x), (xiii), guidance text box, and (xiv) for new documented procedures.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.5.3</td>
<td>Section 6.5.3 has been amended for management to ensure that annual internal audits “are undertaken”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.5.4(a), (e) and (g)</td>
<td>Section 6.5.4(a), (e) and (g) have been amended to describe initial and ongoing competency assessment, part-processing of semen, and records for each export consignment.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.6.1(d)</td>
<td>Section 6.6.1(d) and guidance text box have been amended to allow for situations where a storage facility is not applicable or required.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.9 and 6.9.1</td>
<td>Section 6.9 and 6.9.1 have been amended by removing “donor” from the title and “whose semen is to be collected”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.10.1 and 6.10.1(a) (iv)</td>
<td>Section 6.10.1 and 6.10.1(a) (iv) has been amended for all animals with semen collection, include teasers, and routine testing using preputial samples.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.11.2 and 6.11.3</td>
<td>Section 6.11.2 and 6.11.3 have been amended to include a new guidance box on confirmed diagnosis and the authority in the event of a dispute.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>6.15(e)</td>
<td>Section 6.15(e) is an insertion for where part-processing occurs for semen and 6.15(h) has been amended to allow for equipment that may have an impact on disease risk.</td>
<td>1 June 2010</td>
</tr>
</tbody>
</table>
85. Section 6.16 is a new section that describes the transportation of semen between semen centres. 1 June 2010

86. Section 16.6.2 has been amended to specify that the centre veterinarian of the approved centre receiving the semen is responsible for the documentation. 1 June 2010

87. Sections 6.24.1 & 6.24.2 have been interchanged and 6.4.2 has been amended to include consolidated consignments. 1 June 2010

88. Section 6.24.6(d) has been amended to include storage of all species, provisional approval and a guidance text box clarifying the timing of audits with respect to approval expiry date. The text box after 6.24.6(e) has been deleted as it is now redundant. 1 June 2010

89. Section 6.24.8 has been expanded and re-formatted. 1 June 2010

90. Section 6.25.3 has been moved to 6.24.10. 1 June 2010

91. Section 7.1.1(j) has been amended to include reference to the application form and a new guidance text box. 1 June 2010

92. Section 7.2.1(e) has been included to define the centre veterinarian must have sound knowledge of the Export Requirements. 1 June 2010

93. Section 7.5.2 and 7.5.3 have been amended to include the implications of a new centre veterinarian. 1 June 2010

94. Section 8.3.1 has been amended by removing the word “direct” and by removing the guidance text box. 1 June 2010

95. Section 8.4.2(c) has been amended to include “where the embryo team operates from a permanent facility”. The word “each” was removed and a new sentence added to the guidance text box on embryo collection centres. 1 June 2010

96. Section 8.4.2(d)(ii), (v), (xii) was amended to include in vitro production of embryos and a guidance text box; a site plan; laboratory sample integrity. 1 June 2010

97. Section 8.4.3 has been reworded for annual internal audits. 1 June 2010

98. Section 8.4.4(d) has been amended to include records for pre-collection isolation facilities. 1 June 2010

99. Section 8.4.5(f) has been amended to include “Pre-collection”. 1 June 2010

100. Section 8.5.1(b) has been amended to include a new sentence about collection facilities in the guidance text box. 1 June 2010

101. Section 8.8.1(d) has been amended to include laboratory storage. 1 June 2010

102. Section 8.15 guidance text box has been amended to include mobile laboratories, and removal of reference to site plan and schedule of any on-farm collections. 1 June 2010
<table>
<thead>
<tr>
<th>Section</th>
<th>Amendment</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>103</td>
<td>Sections 8.17.1 &amp; 8.17.2 have been interchanged.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>104</td>
<td>Section 8.17.4 has been amended by changing “withdrawn” to “cancelled”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>105</td>
<td>Section 8.17.5 has been amended by the addition of “re-approval” and the addition of a clause for auditing intervals (8.17.6).</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>106</td>
<td>Section 8.17.8(b) guidance text box has been amended to include eligibility documents are not subject to additional audit by the recognised person.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>107</td>
<td>Section 8.17.8(c) has been amended for embryo teams where collection and processing are not observed before the approval expiry date and a new guidance text box added. The text box after 8.27.8(d) has been deleted as it is now redundant.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>108</td>
<td>Section 8.18.3 has been moved to 8.17.3.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>109</td>
<td>Section 9.2.1(c), (e) have been amended to ensure that annual internal audits are undertaken and the presence of the team veterinarian at both provisional and full audits.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>110</td>
<td>Section 9.4.4 has been re-worded.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>111</td>
<td>Section 10.1 guidance text box has been included to include the Animal Imports and Exports Group to receive enquiries.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>112</td>
<td>Section 10.3.2 has been amended with a new guidance text box on responsibilities for operators and facility owners.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>113</td>
<td>Section 10.7 has been amended to remove the words “establish, document, maintain” for “the approved” isolation plan.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>114</td>
<td>Section 10.14.1 has been re-worded for annual internal audits. The text box after 10.14.4 has been deleted.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>115</td>
<td>Section 10.17.1(b) has been amended to include verification to 10.16 to 10.9 of the OAP.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>116</td>
<td>Section 10.18.3 guidance text box has been amended to include “having a lesser export status”.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>117</td>
<td>Section 11.3.2 has been amended to include the “team’s” work manual.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>118</td>
<td>Section 11.9.1 &amp; 11.9.2 have been interchanged.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>119</td>
<td>Section 11.9.6 text box has been deleted to be consistent with sections 6.24.6, 8.17.8 and 10.14.4.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>120</td>
<td>Section 11.10.3 has been moved to 11.9.10.</td>
<td>1 June 2010</td>
</tr>
<tr>
<td>121</td>
<td>Part 12 Appendix I has been amended with corrected titles for Conflict of Interest and Audit Report forms.</td>
<td>1 June 2010</td>
</tr>
</tbody>
</table>
122. Part 12 Application forms 1 and 2 Functions management table now includes a Note for provision for attaching information. Application Form 2 6(c)* has been amended for “non-initial recognition only”. Application forms have been amended to provide for approval sign-off. Application Form 6 has been amended to provide for storage, “pre-entry” isolation, abiding the OAP, provision for the applicant not to be the centre veterinarian, and selection of with guidance on use of Application Form 7. Application Form 8 has been amended to provide for storage, “pre-collection” isolation, and abiding the documents listed. Declaration Form 4 has been amended to include declaring no breach of isolation, rewording on commencement of the isolation period and clarification on date of departure.

123. Part 13 Documents incorporated by reference has been added to provide a list of the documents that are referenced in the OAP, along with appropriate sources of the documents.
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 Animal Products Act 1999. 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 (other than live animals which are themselves the object of any primary processing under the Animal Products Act 1999) and germplasm.

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 live animals and germplasm certified as food, see the New Zealand Food Safety Authority (NZFSA) website.

For the avoidance of doubt, this OAP covers also live terrestrial animals exported for slaughter.

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.
Signatories to 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 and managing adherence to them. This function is administered by the MAFBNZ Animal Imports and 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 current edition of the Terrestrial Animal Health Code, which can be found on the OIE website:
      http://www.oie.int/eng/normes/mcode/A_summary.htm
      The current edition of the Aquatic Animal Health Code, which can be found on the OIE website:
      http://www.oie.int/eng/normes/fcode/A_summary.htm
   b. the OIE Manual
      The current edition of the OIE Manual of Diagnostic Tests and Vaccines for Terrestrial Animals for diseases listed in the Code, which can be found on the OIE website:
      http://www.oie.int/eng/normes/mmanual/a_summary.htm
      The current edition of the OIE Manual of Diagnostic Tests for Aquatic Animals which can be found on the OIE website:
      http://www.oie.int/eng/normes/fmanual/A_summary.htm

1.3 Introduction

1.3.1 MAFBNZ policy and the Act aim to facilitate the entry of animal material and products into overseas markets by providing the controls and mechanisms needed to give and to safeguard official assurances for entry into those markets. 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 on behalf of MAFBNZ 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. **Principle 3** – Only Government can provide the official assurances underpinning market access, and these will be supported by adequate systems and processes **Principle 6** – Export certification will be supported by adequate levels of verification and security **Principle 7** – Government certification systems will be aligned and integrated across Government agencies as appropriate and applied equitably across export sectors **Principle 8** – Third parties will be used at the verification step in the provision of official assurances wherever possible and their roles will be clearly defined **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 requirements 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 MAFBNZ notified Export Requirements of specific importing countries.

1.3.5 The requirements of this OAP allow exporters to have different procedures for meeting the requirements, where practicable.

1.3.6 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 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—

\(^1\) Statement of Policy: Market Access and Official Assurances Principles (as signed off as the Pan-MAF Certification Principles by the SPS Forum, August 2006)
(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, by the Competent Authority and/or officials at border inspection posts (BIPs) of the importing country concerned. 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 may 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, obliteratores, 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

<table>
<thead>
<tr>
<th>MAFBNZ</th>
<th>MAFBNZ Quarantine Inspectors</th>
<th>Authorised persons</th>
<th>Recognised agencies &amp; recognised persons</th>
<th>Audit agencies</th>
<th>Audit the export process</th>
<th>Owners/managers/agents</th>
<th>Transporters</th>
<th>Veterinarians</th>
<th>Export laboratories</th>
</tr>
</thead>
<tbody>
<tr>
<td>© Develop requirements for the OAP © Negotiate export requirements and any amendments to these © Issue export certificate templates and export requirements © Approve and register centres, teams and facilities © Manage adherence to the OAP</td>
<td>© Carry out functions* e.g. inspect the packaging of bee consignments</td>
<td>© Check eligibility documents and germplasm/bee declarations to ensure compliance with export requirements © Issue an official assurance to the importing country</td>
<td>© Supervise preparation of export consignments and check supporting documentation/declarations to ensure compliance with the OAP and 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 © Approve pre-export isolation facilities and isolation plans © Provide eligibility documents to the authorised person issuing the official assurance © Verify germplasm/bee declarations © Approve consignment plans</td>
<td>© 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</td>
<td>© Undertake activities as required by the recognised person* © Provide declarations to support certification*</td>
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* where required
1.4 Definitions

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
- **animal**: any member of the animal kingdom, including:
  a. any mammal, bird (including hatching eggs), finfish, shellfish, reptile, amphibian, insect, or invertebrate
  b. 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

This OAP applies only to official assurances issued for live animals (other than live animals which are themselves the object of any primary processing under the Animal Products Act 1999) and germplasm

- **Animal Imports and Exports Group**: the section within MAFBNZ responsible for the development, negotiation and setting of, and adherence to Export Requirements for live animals and germplasm
- **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 of NZFSA 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 copy of an export certificate template with relevant sections completed, issued by a bee team to an authorised person, which confirms information supporting the eligibility for export of any live bees that require an official assurance
- **bee team**: a MAFBNZ-approved and registered bee exporter
- **centre veterinarian**: a veterinarian who is approved by the Director-General and responsible for day-to-day compliance of semen collection, processing and/or storage in accordance with this OAP and any relevant requirements
- **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:
  a. high-pressure hose and/or steam cleaning for concrete, steel, rubber and wooden surfaces associated with a collection facility
b. hot water, detergents and/or abrasive cleaning agents for smooth work/interior surfaces in a laboratory or storage facility

closed out the corrective action for a non-compliance(s) identified in an audit has been verified as successfully completed

competent authority the veterinary authority or other governmental authority of a member country having the responsibility and competence for ensuring or supervising the implementation of animal health and welfare measures, international veterinary certification and other standards and guidelines

competence in relation to a person, means a demonstrated ability to apply that person’s knowledge and skills

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

consignment one or a number of live animals, or germplasm, being moved from one country to another and covered, where required, by an official assurance

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

consolidated consignment a consignment consisting of more than one lot of live animals, or germplasm, being exported under a single official assurance

controlled copy the correct and latest revised version of a document, which is retrieved and replaced when a change is made

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, MAF; the Deputy Director-General, MAFBNZ; the Director Border Standards, MAFBNZ; Animal Imports and Exports Group 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 which is reflected in the issuing of a one-off official assurance

eligibility document a copy of an export certificate template with relevant sections completed, which is issued by a recognised person to an authorised person and which confirms information
supporting the eligibility for export of any live animal (and germplasm where a germplasm declaration is not used) 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, and including facilities related to their operations, under the supervision of a team veterinarian, competent to perform the collection/production, processing and storage of embryos/ova and approved by the Director-General

embryo team veterinarian
a veterinarian who is approved by the Director-General and who is responsible for day-to-day compliance of embryo collection, processing and/or storage in accordance with this OAP and any relevant requirements

entity
an organisation or person that is legally able to enter into a contract and possesses a separate existence for tax purposes. An example of an entity would be a company, corporation, partnership, or trust

equivalence
the situation where the sanitary measure(s) proposed by the exporting country, is negotiated and accepted by the importing country as an alternative to their requirement

EU OMAR
Export Requirements of the European Union Member States for bovine semen and bovine (in-vivo derived and in-vitro produced) embryos

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

export certificate template
the template which is used to raise an official assurance as determined by the Director-General pursuant to section 62 of the Act. For the purposes of this OAP, once the export certificate template is completed, printed on security paper, numbered, 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, issued under section 60 of the Act which are specific to an identified overseas market(s) and 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

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 of animals
germplasm declaration  a copy of an export certificate template with relevant sections completed, issued by an approved centre/team veterinarian to an authorised person and 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

IETS Manual  the current edition of The IETS Manual of the International Embryo Transfer Society, which includes guidelines for general procedures for bovine embryo transfer. This can be found on the IETS website: [http://www.iets.org/manual.htm](http://www.iets.org/manual.htm)

import permit  an official 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 status separate from other animals of a different or unknown status

isolation plan  a plan drawn up for animals in 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

lot  a number of animals, or a collection of containers (e.g. straws, ampoules) containing semen/embryos

MAF  Ministry of Agriculture and Forestry

MAF Assurance and Risk  Ministry of Agriculture and Forestry Assurance and Risk in the Assurance and Risk Directorate

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 competent authority for export of 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”

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 include but are not limited to:

• 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

A major non-compliance may compromise the integrity of the official assurance

Examples include but are not limited to:

• 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

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. For the purposes of this OAP, once an export certificate template is completed, it becomes an official assurance. Only authorised persons may issue an official assurance

official veterinarian a veterinarian authorised by the Veterinary Authority i.e. competent 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 verify in conformity with the provisions of the chapters on “General obligations related to certification” and “Certification procedures” in the current version of the OIE Code (Veterinarians authorised or recognised under the Animal Products Act 1999 can be termed ‘official veterinarians’)

**official control**

the control by a recognised person or authorised person

**OIE**

World Organisation for Animal Health (the name Office International des Epizooties was abolished in 2003; the acronym has been maintained)

**OIE Code**

the current edition of the Terrestrial Animal Health Code, which can be found on the OIE website: [http://www.oie.int/eng/normes/mcode/A_summary.htm](http://www.oie.int/eng/normes/mcode/A_summary.htm)

The current edition of the Aquatic Animal Health Code, which can be found on the OIE website: [http://www.oie.int/eng/normes/fcode/A_summary.htm](http://www.oie.int/eng/normes/fcode/A_summary.htm)

**OIE Manual**

the current edition of 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](http://www.oie.int/eng/normes/mmanual/a_summary.htm)

**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

**pre-export isolation facility**

a supervised facility where animals spend a specified period of time immediately prior to export in ‘isolation’ or ‘quarantine’

**premises**

the place where a live animal business is operated

**recognised agency**

in relation to any function or activity set out in this notice means a person or body recognised as an agency under section 103 of the Act for the purpose of performing specified functions and/or activities required for export certification of animals and germplasm to which this notice applies

**recognised person**

in relation to any function or activity set out in this notice means a person recognised under section 103 of the Act for the purpose of performing specified functions and/or activities relating to the export of live animals and germplasm to which this notice applies

**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 and individually numbered security paper. The front side of each sheet has a disruptive wavy background with the words ‘Ministry of Agriculture and Forestry Te Manatu Ahuwenua, 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 once 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
the procedure 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
a veterinarian approved by the Director-General and 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, relating to the export of live animals and germplasm, and who acts as the recognised agency’s point of contact with MAFBNZ.

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.

veterinarian
a veterinarian registered under the Veterinarians Act 2005, or its predecessor.

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.
1.4.2 Interpretation of Export Requirements

Terms occurring in some export certificate templates and their interpretations are presented below. Where terms are defined otherwise 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 first-hand 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 Definitions.

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 disinfected, 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 Terrrestrial Animal Health Code (Mammals, Birds and Bees). Export Requirements usually refer to specific diseases. The Animal
Imports and 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 current Biosecurity (Notifiable Organisms) Order 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
• pregnancy status.

**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, however, 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.

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
• the area to which the term “freedom from disease” applies.

Declarations to support this type of statement should be based on information from:
  o registered veterinarians or apiary officers who service the premises/animal(s) in question
  o industry control or eradication databases
  o animal health laboratory databases
  o National Notifiable Diseases databases
  o National Disease Surveillance reports
  o NZFSA Verification Agency
  o animal product businesses
  o export test reports
  o 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 Animal Health Board database shows properties under ‘movement control’ for bovine tuberculosis.

**fully vaccinated**
This means vaccinated according to the recommendations of the manufacturer. Other terms such as ‘correctly’, ‘properly’ and ‘appropriately’ will be taken to mean the same as ‘fully’ unless otherwise stated.

**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 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 person 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 exporter registration the following:
(a) owners of live animals exported for non-commercial purposes
(b) persons exporting samples for scientific analysis (otherwise than for the purposes of trade or reward)
(c) certain foods containing animal/material products.

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

2.1.2 Exporters must be aware of the MAFBNZ conflict of interest policy. All exporters have a legal responsibility to ensure that their operations do not contravene this policy.

The MAFBNZ conflict of interest policy “Policy for managing conflicts of interest when providing official assurances for export of live animals and germplasm” can be found on the MAFBNZ website.

2.1.3 Exporters must obtain the importing country’s latest requirements where these are not held by MAFBNZ and provide them to the Animal Imports and Exports Group. Where these are supplied in a language other than English, the exporter must provide a translation from a translation service agreed with the Animal Imports and Exports Group, 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 Export Requirements are available. 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 Animal Imports and Exports Group should be advised in sufficient time prior to export, so that changes can be made and negotiations undertaken where necessary.

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

2.1.5 Exporters must ensure that they have a sound knowledge of the Export Requirements, and the import permit requirements, where applicable.

2.1.6 Where Export Requirements contain standard clauses relating to certain aspect(s) of the export, they must be interpreted according to section 1.4, unless the Export Requirement specifically over-rides those interpretations.
Where there is an entry in the Export Requirements that is not covered in section 1.4, 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 1.4. Some terms in particular Export Requirements may not be worded in exactly the same way as the terms presented in section 1.4, but may have the same intent. The Animal Imports and Exports Group should be consulted for an acceptable interpretation.

2.1.7 Where the import permit is issued in a language other than English (and does not include an English version) and contains 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 reserves the right to not negotiate with an importing country to facilitate an export where insufficient management by the exporter has resulted in failure to meet the Export Requirements that have been agreed between New Zealand and the importing country.

2.1.8 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.

2.1.9 Exporters intending to export live animals or germplasm for which an official assurance is required must give reasonable notice to any recognised or authorised persons involved with the consignment so that verification 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.

2.1.10 Exporters must present for export only live animals or germplasm that meet the Export Requirements, the import permit where required, and the requirements of this OAP. Where import permit requirements do not correspond with the Export Requirements, the exporter must inform the Animal Imports and Exports Group as soon as practicable.

2.1.11 The exporter must ensure that live animals or germplasm eligible for export are not in direct or indirect contact with animals or germplasm of a lesser export status.

2.1.12 Where an import permit is required, the exporter must present it to the authorised person issuing the official assurance prior to export. In the case of day-old-chicks and hatching eggs, the import permit may be provided to the authorised person issuing the official assurance after export.
2.1.13 Where the Export Requirements so specify, the import permit presented to the authorised person must be the original.

2.1.14 Exporters must ensure that:
   a. any identification requirements in the Export Requirements in relation to 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.

2.1.15 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 verification 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.

2.1.16 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.

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

2.1.18 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.

2.1.19 All laboratory testing specified in the Export Requirements must be carried out by a laboratory approved or recognised by the Animal Imports and Exports Group for requisite export testing.

The Animal Imports and Exports Group maintains a list of approved laboratories on the MAFBNZ website along with a list of export tests for which the laboratory is approved to undertake.

2.1.20 Where the Export Requirements specify a particular regime of cleaning and disinfection, the exporter must ensure that this is adhered to. In all other situations, the exporter must ensure that vehicular transport used to transport animals of a specified health status is cleaned and disinfected prior to transport in order to maintain the animal health status.
A transport declaration form, declaration form 3 “Transportation” 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 5.11. 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 export status of the live animal(s) or germplasm is not altered between the time of the issue of the eligibility document/germplasm declaration/bee declaration, and official assurance, and the departure from New Zealand.

2.1.25 Exporters must ensure that for any export consignment and/or premises/facility/farm of origin, verification by a recognised person or audit by a MAFBNZ auditor, is possible, 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:
General requirements

a. be approved by the Animal Imports and Exports Group
b. have a documented system in place to control the use of the security paper
c. be audited by the Animal Imports and Exports Group.

For requirements for approval to hold security paper see section 5.12 of this OAP.

2.1.27 Exporters must notify the Animal Imports and 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; or
b. have had their official assurance lost or misplaced; or
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

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.

c. the management of ineligible animals, showing how they will be conspicuously identified and removed from the mob

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 approved by the Animal Imports and 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 the transport vehicle that transport the animals to the port.

2.2.5 During loading on to the transport vehicle 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 Communications with foreign authorities

2.4.1 On matters relating to official assurances, persons must not communicate with foreign governments or agencies on behalf of MAF or represent that they are communicating on MAF's behalf or with MAF's authority, unless they have the prior written approval of the Animal Imports and Exports Group.

Persons are advised to keep MAF informed where they are communicating unilaterally with foreign governments or agencies in relation to a proposed export, so that MAF and exporters are not acting at cross-purposes.

2.5 Equivalence and dispensation

2.5.1 Exporters requesting an equivalence or dispensation must provide the following information to the Animal Imports and Exports Group:

a. the exporter’s name and address
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 importer’s name and address may also need to be provided. The acceptance of this information does not guarantee that the intended export will occur. For equivalence and dispensation see sections 5.16 and 5.17 of this OAP.

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 Animal Imports and Exports Group.

2.7 Complaints and appeals procedure

Where any exporter believes that information, clarification, or sanction is demonstrably unfair, inaccurate, or impinges on the exporter’s ability to conduct operations, they may follow the complaints and appeals procedure as can be found on the MAFBNZ website.
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 that any Export Requirements for live animals or germplasm are met and that the OAP has been followed, where relevant.

3.1 Requirements for recognised agencies

3.1.1 A recognised agency performing functions in relation to the export of live animals and germplasm to which this notice applies must:

a. at the time of performing such functions, 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. demonstrate to the Animal Imports and Exports Group a successful audit, as conducted by the accreditation body, and at a frequency recommended by that body, for its compliance with this notice. A copy of the assessment report from the accreditation body must be forwarded to the Animal Imports and Exports Group

g. demonstrate to the Animal Imports and Exports Group completion by the recognised laboratory of an annual internal audit of their systems

h. make payment of any fees and charges required under the Act

i. appoint a technical manager who will be the contact point between the recognised agency and the organisation for time being responsible for the management of official assurances relating to animals and germplasm.

3.1.2 A recognised agency must meet all other technical requirements as prescribed by the Director-General for one or more of the following functions for which they are seeking recognition:

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

b. issuing eligibility documents for bees and broodcomb

c. auditing semen centres and embryo teams and recommending their approval, and verifying germplasm declarations

d. auditing bee teams and recommending their approval, and verifying bee declarations

e. approving isolation plans and verifying facility compliance for MAF-approved pre-export isolation facilities

f. auditing continuously-approved MAF-approved pre-export isolation facilities

g. approving consignment plans for export of large consignments of livestock
h. such other verification functions and activities in relation to Export Requirements for live animals and germplasm, as may be required for the purposes of the Act.

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 Animal Imports and Exports Group using the application form, form 1 “Recognised Agency (live animals and germplasm)” located 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, and with any necessary modifications, 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 A controlled copy of the recognised agency’s systems and procedures must be provided to the Animal Imports and Exports Group as soon as practicable after recognition.

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 that decides to alter the functions for which it is recognised, must apply to the Animal Imports and Exports Group for a variation to its conditions of recognition using the application form, form 1 “Recognised Agency (live animals and germplasm)” located in Appendix I.

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, form 1 “Recognised Agency (live animals and germplasm)” located in Appendix I, to the Animal Imports and Exports Group and payment of the required fee and any related direct charges
   b. a successful audit, as determined by the joint audit of the accreditation body and MAFBNZ 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
   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 Animal Imports and 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 Animal Imports and 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, specifications, directions, its conditions of recognition (if any) and this OAP.

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 services may be carried out by non-recognised persons)
   b. the competency of recognised persons performing functions for which the agency is recognised 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 and services 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 compromises 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, specifications, 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 who are performing relevant functions 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, and where appropriate, the OIE Code, the IETS Manual, the EU OMAR (where established) and EU Directives/Decisions/Regulations
b. the agency’s own systems and procedures
c. all policies and procedures issued by the Director-General, that are relevant to
   the performance of the functions of that agency including (without limitation)
   policies on conflict of interest, and access to relevant departmental websites
d. IATA Regulations relating to the carriage of animals by air
e. communication systems of telephone, fax, email and courier services.

3.10 Requirements for recognised agencies where a person applies
for recognition

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 4.1.8 and 4.10-4.17), as well as the criteria specified in
      section 101(2) of the Act
   b. forward the application for recognition to MAFBNZ on the applicant’s behalf
      when satisfied that the person meets the criteria
   c. provide documentation to the Animal Imports and Exports Group that attests
      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 competence 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

3.11.2 When a MAFBNZ-approved entity elects to transfer to another recognised agency the
new agency must ensure:
   a. the entity’s registration is current
   b. the recognised agency is recognised to perform the functions and activities for
      which the entity is engaging that agency
   c. the entity’s outstanding 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 former recognised agency must complete the verification services in relation to
Export Requirements for live animals and germplasm that it provides 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 the Animal Imports and Exports Group that it has accepted the transfer
      within 24 hours of acceptance of transfer
   b. notify the former recognised agency that they have accepted the transfer within
      24 hours of acceptance of transfer
   c. request copies of all audit records and non-compliance records from the former
      recognised agency
3.12 Recognised agency’s cessation of service to an entity

3.12.1 If a recognised agency ceases to provide verification services in relation to Export Requirements for live animals and germplasm to an entity, the agency must notify the Animal Imports and Exports Group within 24 hours of cessation, with the reason for cessation.

3.13 Movement of recognised persons and functions between recognised agencies

3.13.1 Where a recognised person is conducting ongoing export functions and informs the recognised agency that he/she intends to leave and as a consequence the recognised agency will no longer be able to provide those functions after the recognised person has moved, the recognised agency must notify the Animal Imports and Exports Group within 24 hours of being so informed and use its best endeavours to ensure that any export functions already in progress, are completed.

3.13.2 Where a recognised person elects to be contracted or employed by another recognised agency, the new agency must ensure that any outstanding non-compliances of the recognised person are closed out before he/she commences any export function for the new agency.

3.14 Communication of status as a recognised agency

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

“Approved by the Director-General [of either NZFSA or MAF, whichever currently holds primary or delegated powers to recognise agencies] to provide [state the functions for which the agency is recognised].”

3.14.2 A recognised agency must not, except as provided in clause 3.14.1, make reference to, or use a logo associated with, NZFSA, MAF, or any other department of state.

3.15 Information

3.15.1 For the purpose of determining the recognised agency’s compliance with this OAP, all information obtained by a recognised agency whilst conducting its functions and activities relating to export of live animals and germplasm must:

a. where it is “personal information” be managed in accordance with the Privacy Act 1993
b. except where non-disclosure is permitted by law, be made available to the Director-General if requested by the Director-General
c. not be released to a third party without prior approval from the Animal Imports and 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>
</tr>
</thead>
<tbody>
<tr>
<td>For semen centres, embryo teams, continuously-approved MAF-approved pre-export isolation facilities and bee teams, the audit report and non-compliance report (see application forms located Appendix I).</td>
<td>X³ X¹ where critical</td>
</tr>
<tr>
<td>Advanced notification of the dates of each semen centre/embryo team’s approval audit</td>
<td>X⁴</td>
</tr>
<tr>
<td>For pre-export isolation facility(s) (non-continuous), consignment plans for export of large consignments of livestock, and any other specific approval according to Export Requirements:</td>
<td></td>
</tr>
<tr>
<td>a. a copy of the endorsed and approved isolation plan for each large export consignment of livestock; prior to the issuing of an eligibility document, and</td>
<td>X³ X summary each isolation plan</td>
</tr>
<tr>
<td>b. a summary of these approvals including:</td>
<td>X³ X summary each isolation plan</td>
</tr>
<tr>
<td>i. number of approvals/plans and type</td>
<td>X³ X summary each isolation plan</td>
</tr>
<tr>
<td>ii. issues.</td>
<td>X³ X summary each isolation plan</td>
</tr>
<tr>
<td>Interceptions of live animals or germplasm by importing countries of which recognised agencies have been made aware.</td>
<td>X¹</td>
</tr>
<tr>
<td>Eligibility documents, identifying:</td>
<td>X summary</td>
</tr>
<tr>
<td>a. number completed</td>
<td>X summary</td>
</tr>
<tr>
<td>b. issues.</td>
<td>X summary</td>
</tr>
<tr>
<td>Germplasm declarations/bee declarations, identifying:</td>
<td>X summary</td>
</tr>
<tr>
<td>a. number of each type received, and number verified</td>
<td>X summary</td>
</tr>
<tr>
<td>b. non-compliance findings and corrective actions.</td>
<td>X summary</td>
</tr>
<tr>
<td>Major and critical non-compliance findings identified within the recognised agency’s own system identified during internal audits or via other sources, and corrective actions undertaken.</td>
<td>X¹ X³ where critical</td>
</tr>
<tr>
<td>Disputes and appeals, identifying:</td>
<td>X summary</td>
</tr>
<tr>
<td>a. background to the issue</td>
<td>X summary</td>
</tr>
</tbody>
</table>
b. outcome
c. legal action and settlements where applicable.

Potential issues likely to compromise the integrity of export certification.  
Changes to the recognised agency’s directorship, management or recognised persons.  
Significant updates to the controlled copy of the recognised agency’s systems and procedures.  
The Director-General reserves the right to audit such significant changes.  
Changes to the approval status of centre veterinarians of semen centres.  
Changes to the approval status of team veterinarians of embryo teams.  
Changes to the approval status of bee teams.  
Changes in the conflict of interest status for approved semen centres/embryo teams/bee teams.  
Scheduled livestock exports.  

<table>
<thead>
<tr>
<th>Reports</th>
<th>Event</th>
<th>Quarterly</th>
</tr>
</thead>
<tbody>
<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 compromise the integrity of export certification.</td>
<td>X₁</td>
<td></td>
</tr>
<tr>
<td>Changes to the recognised agency’s directorship, management or recognised persons.</td>
<td>X₂</td>
<td></td>
</tr>
<tr>
<td>Significant updates to the controlled copy of the recognised agency’s systems and procedures.</td>
<td>X₃</td>
<td></td>
</tr>
<tr>
<td>The Director-General reserves the right to audit such significant changes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Changes to the approval status of centre veterinarians of semen centres.</td>
<td>X₂</td>
<td></td>
</tr>
<tr>
<td>Changes to the approval status of team veterinarians of embryo teams.</td>
<td>X₁</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 centres/embryo teams/bee teams.</td>
<td>X₃</td>
<td></td>
</tr>
<tr>
<td>Scheduled livestock exports.</td>
<td></td>
<td>X summary</td>
</tr>
</tbody>
</table>

1 Written notification to the Animal Imports and Exports Group must be within 48 hours of this event.
2 Written notification to the Animal Imports and Exports Group must be within five working days of this event.
3 Written notification to the Animal Imports and Exports Group must be within ten working days of this event.
4 Written notification in the form of a monthly schedule to the Animal Imports and Exports Group. Any subsequent changes to this schedule must be notified, in writing, as soon as practicable.

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 Animal Imports and Exports Group.

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

Table 3.2: Quarterly reporting dates
### 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 referred to in 3.18.1 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 and records, 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 Animal Imports and Exports Group upon request.

**3.18.5** Upon termination of the recognised agency’s services, all audit records must be provided to the Animal Imports and Exports Group upon termination of the recognised agency’s services on the agreed date of termination.

### Audit requirements

**3.19.1** A recognised agency must be audited by its chosen accreditation body at a frequency recommended by that body. The Animal Imports and Exports Group may nominate a person to be either part of the audit team or an observer.
3.19.2 The Director-General may elect to carry out audits independently from those of the chosen accreditation body for the purpose of determining the recognised agency’s compliance with this OAP.

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 Animal Imports and Exports Group.

4.1  Requirements for recognised persons carrying out functions related to export of live animals and germplasm

4.1.1 Persons who carry out functions in relation to the issuing of an official assurance for the export of live animals and germplasm 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 conducting functions in relation to export testing of live animals and germplasm, which relates to the functions for which that person is recognised, shall:
   a. where it is personal information, be managed in accordance with the Privacy Act 1993
   b. except where non-disclosure is permitted by law, be made available to the Animal Imports and Exports Group if requested by the Animal Imports and Exports Group
   c. not be released to a third party without prior approval from the Animal Imports and Exports Group.
4.1.8 For a person to be recognised, the Director-General 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 A recognised person must meet all other technical requirements as specified by the Director-General relating to the function(s) for which he or she is seeking recognition, including payment of any fees and charges required under the Act.

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 (in accordance with section 102 of the Act) to the Animal Imports and Exports Group, using the application form, form 2 “Recognised Person (live animals and germplasm)” located in Appendix I, and pay any fees and charges required under the Act.

The fees and 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 may apply to the Director-General to vary the function(s) for which he/she is recognised under section 105(5) of the Act, using the application form, form 2 “Recognised Person (live animals and germplasm)” located in Appendix I.

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, using application form 2 “Recognised Person (live animals and germplasm) located in Appendix I, to the Director-General
   b. full payment of all fees and any direct charges as prescribed by the Director-General 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 not perform any further functions as a recognised person and must return the notice of recognition to the Animal Imports and Exports Group within 20 working days of the date of withdrawal.

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 In relation to the issue of an official assurance for live animals and germplasm under the Act, a person must be recognised to carry out the following functions, as appropriate:
   a. issuing eligibility documents for all animal species (excluding bees and broodcomb) and germplasm
   b. issuing eligibility documents for bees and broodcomb
   c. auditing semen centres and embryo teams and recommending their approval, and verifying germplasm declarations
   d. auditing bee teams and recommending their approval, and verifying bee declarations
   e. approving isolation plans and verifying facility compliance for MAF-approved pre-export isolation facilities
   f. auditing continuously-approved MAF-approved pre-export isolation facilities
   g. approving consignment plans for export of large consignments of livestock
   h. such other verification functions and activities in relation to Export Requirements for live animals and germplasm, as may be required for the purposes of the Act.

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 4.9.1 above must:
   a. demonstrate sound knowledge of:
      i. the Act and any associated regulations, notices, and directions, relevant to the person’s function(s)
      ii. the requirements of this OAP
      iii. the current Veterinary Council of New Zealand Code of Professional Conduct for Veterinarians
      iv. the current OIE Code, as appropriate
      v. the current IETS Manual, as appropriate
      vi. Export Requirements, as appropriate
      vii. EU Directives/Decisions/Regulations, as appropriate
      viii. the MAFBNZ conflict of interest policy
   b. Provide evidence of the relevant competencies (see sections 4.11-4.17).

4.11 Competencies for issuing eligibility documents for all animal species (excluding for bees and broodcomb) and germplasm

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 and verifying bee declarations

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 Director-General 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, and verifying germplasm declarations

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. for the initial recognition have, within a 12 month period, carried out at least two 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 of those semen centres and embryo teams
   f. must be competent in performing audits.

4.14 Competencies for auditing bee teams and recommending their approval, and verifying bee declarations

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 Director-General 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. for the initial recognition have, within a 12 month period, carried out at least two 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 MAF-approved pre-export isolation facilities

4.15.1 In addition to meeting the requirements of clause 4.10.1, a recognised person approving isolation plans and verifying facility compliance for MAF-approved 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.

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. for the initial approval have, within a 12 month period, carried out at least two approvals of isolation plans and verification of facility compliance for MAF-approved pre-export isolation facilities under the direct supervision of a recognised person. The supervising recognised person must be recognised for
the function of approving isolation plans and verifying facility compliance for MAF-approved pre-export isolation facilities.

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. for the initial recognition have, within a 12 month period, carried out at least two 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 administrative activities and relevant support services other than the specific functions for which only the recognised person is approved:

a. the Export Requirements allow for this, and

b. the recognised person remains responsible for the activities and services undertaken, and must ensure that the person has the relevant training to undertake the activity and service, and

c. a declaration or supporting documentation must be provided by the non-recognised person confirming that the activity(s) and service(s) has 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 this OAP, and Export Requirements which he/she considers will compromise the integrity of export certification, 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.
Germplasm declarations will be the norm for approved centre/team veterinarians. However, the pathway of issuing eligibility documents by a recognised person can be also be used, for example where the centre/team veterinarian has a conflict of interest. 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 first-hand knowledge of the information they are providing and/or be assured that any supporting documentation is true and accurate
  b. 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
  c. ensure that livestock can be traced back to the farm of origin and maintain a record of this
  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 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 verify 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. In addition, an eligibility document for the transferred germplasm must be provided by the recognised person to the receiving centre/team prior to export of the germplasm.

c. where germplasm has been moved between approved semen centres and embryo teams, obtain a complete trail of supporting documentation of the approval number(s) and function(s) for each approved semen centre/embryo team. In addition, an eligibility document for the transferred germplasm must be provided by the recognised person to the receiving centre/team prior to export of the germplasm.

d. delete all uncompleted tasks and notify the authorised person accordingly in writing.

e. ensure that there is no overlap of the contents of the eligibility document and any letter-head or other printing.

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

g. 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.

h. 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.

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 noting any differences between the draft electronic version and the signed eligibility document, and ensuring that the official assurance reflects the signed eligibility document.

5.1.12 The authorised person must ensure that the signed eligibility document is to be kept with the copy of the official assurance.
5.1.13 The authorised person must ensure that the eligibility document is not sent to the importing country, except where the Export Requirements specifically require this.

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 compromises the integrity of export certification, must be reported immediately, and within 48 hours in writing, to the Animal Imports and 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 can be also be used, for example 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 first-hand knowledge of the information they are providing and/or be assured that any supporting documentation is true and accurate
   b. 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
   c. 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. In addition, a germplasm declaration for the transferred...
germplasm must be provided by that centre/team to the receiving centre/team prior to export of the germplasm.

c. where germplasm has been moved between approved semen centres and embryo teams, obtain a complete trail of supporting documentation of the approval number(s) and function(s) for each approved semen centre/embryo team. In addition, a germplasm declaration for the transferred germplasm must be provided by that centre/team to the receiving centre/team prior to export of the germplasm.

d. delete all uncompleted tasks and notify the authorised person accordingly in writing.

e. ensure that there is no overlap of the contents of the germplasm declaration and any letter-head or other printing.

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

g. 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.

h. 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 noting any differences between the draft electronic version and the signed germplasm declaration, and ensuring that the official assurance reflects the signed germplasm declaration.

5.3.11 The authorised person must ensure that the signed germplasm declaration, or where the consignment is consolidated, the final germplasm declaration, is kept with the copy of the official assurance.
5.3.12 The authorised person must ensure that the germplasm declaration is not sent to the importing country except where the Export Requirements specifically require this.

5.4 **Verification of germplasm declarations by recognised persons**

5.4.1 At the time of export, the semen centre/embryo team veterinarian must ensure that 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 from each semen centre/embryo team per 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. The recognised person may at his/her discretion, at any time, verify any related supporting documentation.

This verification is not intended to duplicate the auditing process associated with the semen centre/embryo team approval which is carried out by the recognised person.

5.5 **Management of non-compliance of germplasm declarations**

5.5.1 A recognised person or authorised person who detects a non-compliance in a signed germplasm declaration must notify that non-compliance to the centre/team veterinarian involved who must institute and document a corrective action, and report this to the recognised agency’s technical manager. A record of any non-compliance must be kept by the recognised agency.

5.5.2 Any person who detects a non-compliance that compromises the integrity of export certification, must report that non-compliance immediately, and in writing, within 48 hours, to the Animal Imports and Exports Group.

5.5.3 The Director-General reserves the right to increase the verification frequency of germplasm declarations for the centre/team involved, or to require a recognised person to raise eligibility documents for verification purposes.
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 has the opportunity to 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 first-hand knowledge of the information they are providing and/or be assured that any supporting documentation is true and accurate
   b. 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
   c. 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.
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.

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.

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

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.

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

The authorised person is responsible for noting any differences between the draft electronic version and the signed bee declaration, and ensuring that the official assurance reflects the signed bee declaration.

The authorised person must ensure that the signed bee declaration is kept with the copy of the official assurance.

The authorised person must ensure that the bee declaration is not sent to the importing country except where the Export Requirements specifically require this.

**Verification of bee declarations by recognised persons**

At the time of export, the bee team manager must ensure a copy of the original signed bee declaration is 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.

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

**Table 5.2. Verification frequency of bee declarations**
Number of bee declarations issued per quarter | Number of bee declarations to be verified
---|---
1-15 | At least 1
16+ | 10% (rounding up to be practised)

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. The recognised person may at his/her discretion, at any time, verify any related supporting documentation.

This verification is not intended to duplicate the auditing process associated with the centre’s approval which is carried out by the recognised person.

5.9 Management of non-compliance of bee declarations

5.9.1 A recognised person or authorised person who detects a non-compliance in a signed bee declaration must notify that non-compliance to the team involved which must institute and document a corrective action, and report this to the recognised agency’s technical manager. A record of any non-compliance must be kept by the recognised agency.

5.9.2 Any person who detects a non-compliance that compromises the integrity of export certification, must report that non-compliance immediately, and in writing, within 48 hours, to the Animal Imports and Exports Group.

5.9.3 The Director-General reserve the right to increase the verification frequency of bee declarations for that bee team, or to require a recognised person to raise eligibility documents for verification purposes.

5.10 Requirements for consolidated consignments of germplasm (semen/embryos)

This section applies to the situation where a number of lots from more than one approved semen centre or embryo team is consolidated under one official assurance. It does not apply to the situation where a number of different consignments, each with its own separate official assurance, are exported in the same receptacle.

5.10.1 Semen centres/embryo teams that consolidate multiple lots of germplasm into one consignment must be currently approved for storing this commodity.

5.10.2 Any person who intends to export lots as a consolidated consignment must ensure that:
   a. the lots are eligible for export and have a completed germplasm declaration/eligibility document to accompany the consignment.
   b. the lots are transported to the point of consolidation in tamper-proof sealed tanks, with the seal number/mark recorded on the associated germplasm declaration/eligibility document.
The accompanying germplasm declaration/eligibility document will (i) provide for clarity of responsibility for the commodity’s eligibility; and (ii) allow traceability.

5.10.3 Where germplasm is stored at a semen centre or embryo team’s facilities other than where it is collected or processed, the export eligibility of the germplasm can be verified by the centre/team veterinarian at the storage facility by obtaining:
   a. a germplasm declaration or eligibility document from the centre/team veterinarian at the facility where the germplasm was collected or processed, or
   b. all supporting documentation relating to the germplasm lot. The centre/team veterinarian of the semen centre/embryo team where the germplasm is stored must then prepare a germplasm declaration to accompany that lot, or engage a recognised person to prepare an eligibility document for that lot.

5.10.4 The centre/team veterinarian consolidating and exporting the consignment must:
   a. ensure that all lots in the consignment are accompanied by a germplasm declaration/eligibility document attesting to their export eligibility
   b. complete the final germplasm declaration for the consolidated consignment, or engaging a recognised person to prepare an eligibility document for the consolidated consignment
   c. ensure that for all lots the relevant name, address and registration number of the centre(s)/team(s) are recorded on the final germplasm declaration
   d. ensure that the new seal number of the consolidated consignment is recorded on the final germplasm declaration.

5.10.5 Where a germplasm consignment transits at a semen centre/embryo team’s facilities other than where it was collected and processed, and is not part of a consolidated consignment, and where the seal has been broken (e.g. for topping up the cryogenic agent), the centre/team veterinarian of the semen centre/embryo team where the germplasm transits must either amend the original germplasm declaration with a new seal number, followed by dating and signing the document, or issue a replacement germplasm declaration, showing the new seal number. However, in cases where an eligibility document has been issued for the lot, the eligibility document must not be amended, but the centre/team veterinarian of the semen centre/embryo team where the germplasm transits must issue a replacement germplasm declaration showing the new seal number.

5.10.6 The semen centre/embryo team exporting the consolidated consignment must provide the consolidated consignment with its final germplasm declaration to the authorised person for final certification.

5.10.7 Copies of all germplasm declarations/eligibility documents, as well as the final germplasm declaration/eligibility document, must also be sent to the recognised person for verification as per section 5.4 of the OAP.

5.11 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.

5.11.1 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
Section 127 of the APA deals with offences involving deception (see clause 1.3.9).

5.11.2 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 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
- declarations from transporters (e.g. truck drivers, pilots, ship masters) regarding disinfection of transport, routes taken to ports and contact with other animals.

5.11.3 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 am aware that this declaration is made for the purposes of supporting export certification under the Animal Products Act 1999
   c. I have read section 127(1) of the Animal Products Act 1999, and I am aware that section 127(1) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see clause 1.3.9 of this OAP.

5.11.4 For declarations in which the verification of the identification of the animal(s) is required, the declaration must also contain the following statement: “I have checked the identification of the animal(s), for which I am providing this declaration and it is as specified in this declaration”. Similarly, where the declaration is for the verification of the identification of farm/premises/herd/flock, the declaration must contain the following statement: “I have checked the identification of the farm/premises/herd/flock, for which I am providing this declaration and it is as specified in this declaration”.

5.11.5 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 series of declarations.

Appendix I provides templates for animal, farm/premises/herd/flock, and transport declarations.

5.12 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.
5.12.1 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 Animal Imports and Exports Group.

5.12.2 Exporters may hold security paper where the following conditions are met:
   a. Export Requirements routinely preclude consignments being finalised during normal working hours
   b. consignments from the exporter are inspected and loaded after normal working hours
   c. the exporter has applied to the Animal Imports and Exports Group using the application form, form 3 “Use of security paper” located in Appendix I, to be registered and registration has been granted
   d. a person is nominated who is responsible for the procedures of controlling and managing security paper
   e. they comply with the requirements in clause 5.12.1 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 ‘subsequent page’
      iii. the serial numbers of ‘first page’ sheets received
      iv. serial numbers of the sheets received
      v. serial numbers of wasted or damaged sheets
      vi. 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.

5.13 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.

5.13.1 An authorised person must use MAF security seals on cages or containers where sealing is an Export Requirement and must comply with the requirements of sections 5.13.4 to 5.13.11.

5.13.2 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.

5.13.3 Where the Export Requirements specify that a cage/container must be sealed by an authorised person, this function cannot be delegated.
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.

5.13.4 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.

5.13.5 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.

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

5.13.7 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.

5.13.8 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.

5.13.9 Where the Export Requirements specify that a cage/container must be sealed by an authorised person, this function cannot be delegated.

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

5.13.11 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.
5.13.12 Exporters of fresh equine semen to Australia may hold security seals where the following conditions are met:

a. the exporter has applied to the Animal Imports and Exports Group, using the application form, form 4 “Use of security seals” located in Appendix I, to be registered with an NZFSA VA operating location and registration has been granted

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. the exporter notifies the NZFSA VA operating location of the date, number, and serial numbers of the seals received from that operating location

e. 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

f. all wasted or damaged security seals are returned to the NZFSA VA operating location within five working days

g. the NZFSA VA operating location audits the security seals held by the exporter, and their records, every three months.

5.14 Export certificate templates

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

5.14.2 On receiving an application from a centre/team veterinarian or an exporter, the Director-General may grant access to the export certificate templates on the MAFBNZ website.

5.14.3 Persons requesting access to export certificate templates on the MAFBNZ website must apply to the Animal Imports and Exports Group using the application form, form 5 “Approval for access to export template certificates” located in Appendix I. The Director-General may grant access and will then give the person password access to the website.

5.15 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.

5.15.1 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 other information entered on the export certificate template must be in the same typeface style

Times New Roman is the nominated default typeface.

e. handwriting must not be used, with the following exceptions:

i. where the certificate number is copied onto subsequent pages (see section 5.15.1 (c))

ii. where an importing country requires a declaration to be included in the official assurance. The declaration must not be printed or copied onto security paper, but must be stamped, signed, dated and the certificate number added by the authorised person

iii. where additions/amendments are necessary (see also section 5.18.13)

Examples of declarations are those from practicing veterinarians regarding parasite treatment(s) of cats and dogs being consigned to the UK; and owner/farmer/veterinarian declarations.

An example of a necessary addition is the departure time.

An example of a necessary amendment is changing the flight number where that flight has been changed.

f. 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

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

h. 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’

i. deletions or the addition of disclaimers, declarations or endorsements, must not be made to an export certificate template without the written permission of the Director-General

j. 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.

5.16 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 Animal Imports and Exports Group may negotiate an equivalence with the importing country.
5.16.1 Exporters requesting equivalence must provide the relevant information to the Animal Imports and Exports Group in accordance with clause 2.5.1 of the Animal Products (Export Requirements for Live Animals and Germplasm) Notice 2010.

5.16.2 The Director-General reserves the right to reject equivalence requests on a case-by-case basis.

5.16.3 If the Director-General agrees to process the equivalence request, then upon acceptance of the equivalence by the importing country the Director-General shall either:
   a. issue a ‘one-off’ certificate allowing the export to proceed, or
   b. issue instructions requesting 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.

5.16.4 Where a delay in export results in the compromise of any of the Export Requirements, e.g. timelines for treatments, testing or inspections, the exporter must request equivalence to cover the delay.

5.16.5 The Director-General must advise the exporter of the charges associated with processing the request for equivalence.

5.17 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 Animal Imports and 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).

5.17.1 Exporters requesting dispensation must provide the relevant information to Animal Imports and Exports Group in accordance with clause 2.5.1 of the Animal Products (Export Requirements for Live Animals and Germplasm) Notice 2010.

5.17.2 The Director-General reserves the right to reject dispensation requests on a case-by-case basis.

5.17.3 If the Director-General agrees to process the dispensation request, then upon acceptance of the dispensation by the importing country the Director-General shall either issue:
   a. a ‘one-off’ certificate allowing the export to proceed, or
   b. instructions requesting 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.

5.17.4 The Director-General must advise the exporter of the charges associated with processing the request for dispensation.
5.18 **Issuing of an official assurance**

**5.18.1** An official assurance must be issued based only on evidence that satisfies the authorised person that the Export Requirements have been met.

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

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

**5.18.4** For export of germplasm, the authorised person must ascertain that:

a. the approval of the semen centre/embryo team was current during collection, processing and storage;

b. there are no issues recorded by the recognised agency that would render the product ineligible for export.

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

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**5.18.5** Where Export Requirements require the specific approval of an entity, the authorised person must ascertain that that the appropriate approval is in place.

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

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**5.18.6** 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.

**5.18.7** Where the import permit is issued in a language other than English (and does not include an English version) and contains the import requirements, the exporter must provide a translation from a translation service agreed with the Animal Imports and Exports Group, at the exporter’s expense.

**5.18.8** 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.

**5.18.9** 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 5.19 for situations where animals are transiting a country.

**5.18.10** 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.
5.18.11 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.

5.18.12 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.

5.18.13 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.

5.18.14 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.

5.18.15 Where required by the Export Requirements, the authorised person must ensure that laboratory reports are appended to the official assurance.

5.18.16 The authorised person must undertake final inspection of animals at the time of export where required 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 so that the official assurance can be issued once loading is completed.
Where the official assurance is issued prior to the animals being loaded, a recognised person may undertake the port inspection and deliver the official assurance to the exporter upon completion of the port-side inspection.

5.18.17 The authorised person or recognised person, as appropriate, must, prior to loading, remove from the consignment any animals that are not fit to travel. Where it is considered that such animals compromise the export status of the remainder of the animals to be exported, the consignment may be postponed or cancelled.

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

5.18.19 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 Animal Imports and Exports Group as to their fate. The authorised person must advise the Animal Imports and Exports Group immediately of any off-loading event.

5.18.20 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. 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.

5.18.21 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.

5.19 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.

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

5.20 Withdrawal and re-issuance of official assurances

Section 64 of the Animal Products Act 1999 allows for official assurances to be withdrawn and reissued.

5.20.1 Official assurances can only be withdrawn and reissued where:
   a. the assurance was incorrectly or inappropriately given
   b. events or circumstances have occurred such that the assurance is no longer true
   c. the official assurance is lost
   d. there has been more than one minor error in the official assurance.

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 Animal Imports and Exports Group. Each request will be considered on a case-by-case basis.

5.20.2 A request for withdrawal and reissue of an official assurance must be made to the Animal Imports and 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 Director-General.
5.20.3 The procedure for withdrawal and reissue of 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 Animal Imports and 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 replacement official assurance fee and any associated costs will not be chargeable to another party(s). The authorised person is responsible for arranging the replacement official assurance to be sent to the importing country.

5.20.4 Where the Director-General authorises the withdrawal and reissue 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.”

5.20.5 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.

5.20.6 The exporter must ensure that, where possible, the cancelled original official assurance is returned to the issuing office in New Zealand unless it is retained by the overseas authority.

5.20.7 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.

5.21 Records and statistics

5.21.1 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. Where a consignment has been consolidated the final germplasm declaration must be kept.

5.21.2 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 from registration, exporter name and contact details.
5.21.3 All records required to be kept under the OAP must be kept for a minimum of seven years.

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

5.22 Fees and charges

5.22.1 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 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 the Director-General 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, form 6 “Approval of a semen centre” is located 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  Approval of a centre by the Director-General 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 the Director-General (see sections 7.2-7.5) using the application form, form 7 “Approval of a semen centre veterinarian” located in Appendix I.

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.

6.4.2 Procedures for which a veterinarian is mandatory cannot be delegated, and these must be carried out by an approved centre veterinarian, or another registered veterinarian, unless the Export Requirements state otherwise.

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

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 status are present
   x. maintaining the integrity of a laboratory sample from collection and labelling through to submission
   xi. ensuring that appropriate laboratory submission forms are used for disease testing required for export

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.
xii. when approvals are surrendered/expired/cancelled and the transfer of any remaining semen, including its supporting documentation, to another centre

xiii. ensuring that, when semen is received from other centres for processing, all documentation attesting to the export eligibility of the semen, is available to the centre carrying out the processing

In this context, processing of semen may involve part processing of neat semen, including sperm sorting.

xiv. transport of semen between centres, to maintain export eligibility

xv. ensuring that, when semen is received from other centres for storage, all documentation attesting to the export eligibility of the semen, is available at the time of export

xvi. control of visitors entering the centre

xvii. actions to be taken in the event of an unfavourable test result

xviii. conditions for the presence of other domestic animals on the centre, and specifically areas to which these animals are not allowed access

xix. record keeping methods that specify what records must be kept, how, and for how long

xx. 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

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

6.5.4 The centre must keep records 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, their relevant qualifications and training, and initial and on-going competency assessment

b. authorisations relating to 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 (including part-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. a complete and accurate record, including a copy of the germplasm declaration, must be held of each export consignment

It is expected that such records will be easily accessible at all times (this includes during semen centre / embryo team approval audits.)
h. 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 The centre must keep records 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

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. 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
   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
Official Assurance Programme Requirements for Export of Live Animals and Germplasm

Requirements for semen centres

c. a semen processing facility (laboratory), which must be physically separated from the semen collection area
d. where applicable, 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. Where a semen centre exports fresh/chilled semen and does not store semen, a storage facility is not required.

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

6.6.3 The centre must be physically separated from neighbouring properties to maintain the export 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 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 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 Only animals that are tested to the required standard can enter the 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 animals onto the semen centre
6.9.1 Prior to entering the centre, animals 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. enzootic bovine leukosis (EBL), using a serological test
   iv. bovine genital campylobacteriosis (Campylobacter fetus subsp. venerealis) and trichomonosis (Trichomonas foetus), using culture of a preputial sample

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 associated with semen collection (including teasers) 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. enzootic bovine leukosis (EBL), using a serological test
   iv. bovine genital campylobacteriosis (Campylobacter fetus subsp. venerealis) and trichomonosis (Trichomonas foetus), using culture of a preputial sample (for these two diseases, only bulls on semen production and bulls having contact with bulls on semen production require routine testing)

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.
Additional tests are those carried out in accordance with the Export Requirements and over and above the routine tests listed in clause 6.10.1 above.

6.11 Unfavourable routine test results

6.11.1 Where an unfavourable routine test result occurs, the animal concerned and any semen collected since its last favourable routine test result must be isolated pending confirmation of the test result.

Isolation, in this context, means either physical separation, or a documented/electronic system to ensure that the semen is not exported pending confirmation of the test result.

6.11.2 In the event of a confirmed unfavourable routine test result the centre veterinarian must immediately notify the recognised person in writing who, in conjunction with the centre veterinarian, must undertake an investigation to establish the true health status of the sampled animal. In the event of a confirmed diagnosis section 6.12 applies.

In this context, a confirmed diagnosis is a determination that a disease or disorder is present, consistent with the relevant diagnostic criteria and clinical case definition.

For the purposes of export, a diagnosis becomes confirmed by evidence which may include, but is not limited to, historical evidence, clinical examination, applied tests, imaging or an established laboratory test. For the purposes of international trade, this may require the application of prescribed tests.

The interpretation of the evidence should be made through reference to sensitivity and specificity of the test system deployed, in order to determine whether the diagnosis is confirmed.

6.11.3 In the event of a dispute, the Director General will have sole discretion to determine whether or not the definition of a confirmed diagnosis has been met.

6.12 Requirements in the event of an endemic disease occurrence

6.12.1 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, the following applies:

a. the Animal Imports and Exports Group must be notified immediately by the recognised person, and the approval status of the centre may be suspended at the discretion of the Animal Imports and Exports Group, any suspension of an approval may apply to a particular animal species or the centre as a whole.

b. the Director-General may carry out an investigation to ascertain the actual export health status of the facility must be carried out in consultation with the recognised agency involved

c. all countries that were recipients of semen collected since the last favourable test result, and whose import requirements are compromised by the confirmed diagnosis, will be notified accordingly by the Director-General
d. all semen collected and isolated since the animal’s last favorable test result must be assigned the health status appropriate to the confirmed diagnosis for any future export by the Director-General

e. depending upon the outcome of the investigation, any suspension may be lifted, or further restrictions applied by the Director-General

f. where the approval status of the centre has been cancelled, it can only be regained after a successful audit of the facility.

6.13 Requirements in the event of an exotic disease occurrence

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.

6.14 Semen collection

6.14.1 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. collection tubes may be reusable or disposable, but must be sterile prior to use

e. artificial vaginas, including all rubber components, must be cleaned and disinfected prior to use

f. 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

g. 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.

6.15 Semen processing

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

6.15.1 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. where semen is received from another centre for part-processing, the processing equipment must be cleaned and disinfected between batches of semen from different centres, donors of different health status or different species
6.15.2 Semen must be processed in accordance with the Export Requirements. In addition the following applies:

- 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 poultry farms that carry out routine disease monitoring.

- Antibiotics and their concentrations added to the semen must be recorded.
- Only semen from donors that meet at least the requirements of this Part of the OAP is processed at the same time.
- Each individual dose of semen must be indelibly marked in such a way that the date of collection, 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 a method to decipher it, for the above information can be used.
- 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.
- 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.

### 6.16 Transportation of semen between approved centres

#### 6.16.1
Transport of semen between approved centres must meet the following requirements:

- Any receptacle (including shippers and tanks) used for transport of semen must be cleaned and disinfected, or sterilised, before the start of any initial filling operation, or must be new.
- Cryogenic agent, where applicable, must not have been used previously.
- Transport containers must contain only semen of donors that meet at least the requirements of this part of the OAP.

#### 6.16.2
The centre veterinarian of the approved centre receiving the semen must ensure that all documentation attesting to the export eligibility of the semen is received.

### 6.17 Semen storage

#### 6.17.1
Where a centre only carries out semen storage, it must be approved by the Director-General and comply only with the requirements applicable for semen storage in this Part of the OAP and any relevant Export Requirements.
6.17.2 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 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.

6.17.3 Semen must be stored in accordance with the Export Requirements.

6.18 Embryo storage

6.18.1 Semen centres that elect to store embryos for export must also be approved by the
Director-General as an embryo team in accordance with the applicable sections of
Parts 8 and 9 of this OAP.

6.19 Post-collection testing

6.19.1 Any post-collection testing must be undertaken in accordance with the Export
Requirements.

6.20 Export testing

6.20.1 All laboratory testing specified in this Part 6 of the OAP and in the Export
Requirements must be carried out by a laboratory approved or recognised by the
Director-General for requisite export testing.

   The Animal Imports and 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.

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

6.21 Conditions of entry onto semen centres

6.21.1 Visitor and vehicle entry to the centre must be authorised, and comply with conditions
laydown by the centre veterinarian. The conditions must be made available to the
visitor.

   Such conditions could differentiate between the requirements for visitors and vehicles providing
regular services e.g. stock, feed trucks, and other visitors.

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

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

6.22 Reporting requirements
6.22.1 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.

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

6.23 **Semen centre approvals**

6.23.1 An approval is valid for a maximum of 6 months, or until the approval is surrendered, or cancelled by the Director-General.

6.23.2 In order to maintain continuous approval, a centre must re-apply through the recognised person, using the application form, form 6 “Approval of a semen centre” located Appendix 1, and before the end of the approval period.

6.23.3 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.

6.24 **Audits**

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

6.24.1 Each centre must be audited by a recognised person:
- before approval to operate is given
- at least once every six months thereafter
- 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.

6.24.2 Prior to any audit, the recognised person must obtain:
- a list of consignments (including any consolidated consignments) exported since the last audit, from NZFSA VA
- a copy of the relevant sections of the work manual, from the centre manager.

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

6.24.3 An approval to export must comprise two stages, which may be undertaken separately:
- 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 Director-General, 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.

6.24.4 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 cancelled.

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).

6.24.5 Where semen is certified by the centre veterinarian using a germplasm declaration, he/she must ensure that a copy is provided to the recognised person at the time of export for verification in accordance with section 5.4.

6.24.6 Audits for continuous approval must meet the following requirements:

a. be carried out at least every six months
b. 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
c. 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

d. include an audit at least once every 12 months of collection and processing of semen of each approved species and storage of all species. Where collection and processing have not been observed before the approval expiry date, approval will become provisional, and collection for export cannot occur
Where the audit of collection and processing has been carried out prior to the approval expiry date, the next audit of collection and processing should occur within 12 months of that approval expiry date.

c. where an audit has not been undertaken by the approval expiry date, all semen collected/processed/stored from that date until the date of the next approval will not be eligible for export unless an exemption is given by the Director-General. Extenuating circumstances, such that this is not possible, may be considered by the Director-General on a case-by-case basis.

6.24.7 Where an approval to operate is surrendered, expires or where it is cancelled by the Director-General, the following requirements must be met:
  a. any semen collected for export and its supporting documentation must be transferred to another 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.

d. In the situation where semen was transferred to another MAFBNZ approved semen centre, the exit audit may occur at the receiving centre and may be included as part of that centre’s six monthly audit.

6.24.8 The process to regain approval is as follows:
  a. where the period of non-approval is less than two years, all requirements of section 3.24.3 apply
  b. where the period of non-approval is greater than two years all requirements of sections 3.24.3 and 3.24.4 apply
  c. where a new centre veterinarian has commenced sole supervision, all requirements of sections 3.24.3 and 3.24.4 apply.

Any non-compliance found at the exit audit must be closed out prior to regaining approval.

6.24.9 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.
6.24.10 After receiving the audit report, the Animal Imports and Exports Group will update the registration database and notify the centre veterinarian, centre manager and the technical manager of the recognised agency.

6.24.11 Notwithstanding the provisions of this section, the Director-General reserves the right to carry out an audit where it is deemed to be necessary.

6.25 Non-compliance

6.25.1 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 Animal Imports and 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 Assurance and Risk, 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 Assurance and Risk investigation, the Director-General must decide if the Veterinary Council of New Zealand should be notified.

6.25.2 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, “Template 2 Non-compliance report” located in Appendix I, must be sent to the Animal Imports and 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 must be closed out. Documentation which attests to this must be sent to the Animal Imports and Exports Group within 10 working days of the non-compliance being closed out.
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
j. where the centre requires approval from the Director-General, he/she has completed the application form 6 “Approval of a semen centre” located in Appendix I and submitted the application for approval.

Where a centre manager and a centre veterinarian are the same person, the centre manager is unable to fulfil section 7.1.1 (i). In this situation, the person will declare and manage the conflict of interest as a centre veterinarian, as per Application Form 7 “Approval of a semen centre veterinarian” (located in Appendix I).

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. be provided, with, and abide by:
   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. relevant parts of the chapters on “Collection and processing of semen” and the chapters on “General obligations related to certification” and “Certification procedures” of the current version of the OIE Code
d. have completed the “Conflict of Interest Declaration Form”, where applicable, and where the centre veterinarian requires approval from the Director-General, the application form, form 7 “Approval of a semen centre veterinarian” located in Appendix I.

e. have a sound knowledge of the Export Requirements applicable to the commodity being exported.

Where a centre veterinarian determines that he/she may have a conflict of interest, the “Conflict of Interest Declaration Form” (located in Appendix 1) should be used to record the conflict of interest, the proposed strategy to manage it, and to gain agreement from MAFBNZ to this strategy. This will prevent a possible delay to an approval as a centre veterinarian.

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:

a. 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

b. ensure that he/she has adequate knowledge of what is happening on the centre on a day-to-day basis and is able to be present at reasonable notice

c. be present at every centre approval audit unless an exemption is given by the Director-General. Extenuating circumstances, such that this is not possible, may be considered by the Director-General on a case-by-case basis. Where there is more than one centre veterinarian, each centre veterinarian must be present at an approval audit at least once every 12 months

d. ensure that any corrective actions identified at an approval audit are closed out within the agreed timeframe

e. ensure that animal intervention(s) or manipulation(s) undertaken by lay persons, comply with the Code of Professional Conduct for Veterinarians, issued by the Veterinary Council of New Zealand.

7.4 Conflict of interest

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

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 6.24.3).

7.5.2 When a new centre veterinarian or an additional centre veterinarian commences supervision of an approved centre, he/she must be audited and approved within 10 working days of commencement.

7.5.3 In addition, when a new centre veterinarian commences sole supervision of an already approved centre, the centre must be audited and re-approved within 10 working days of that new veterinarian commencing supervision (see sections 6.23.1 and 6.23.6).

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, form 7 “Approval of a semen centre veterinarian” located in Appendix I, to the recognised person at commencement of supervision of the centre and at every six-monthly centre audit thereafter. At commencement of supervision, 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 Animal Imports and Exports Group. Once the centre veterinarian has been approved, the recognised person must re-assess him/her at least once every 12 months.

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 Animal Imports and 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, based in part on the recommendations related to collection, processing and storage of embryos in the OIE Code and IETS Manual, 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 status, so allowing the issuing of official assurances.

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

8.2  Requirements for approval and registration

8.2.1  Embryo teams must be approved and registered by the Director-General for collecting, processing and storing embryos of specified species for export by using the application form for approval, form 8 “Approval of an embryo team and embryo team veterinarian” located 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  The Director-General will approve a team where:
   a. the team veterinarian is approved by the Director-General (see Part 9 relating to team veterinarian)
   b. 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 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.

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 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.

8.3.4 Procedures for which a veterinarian is mandatory cannot be delegated, and these must be carried out by an approved team veterinarian, or another registered veterinarian, unless the Export Requirements state otherwise.

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, where the embryo team operates from a permanent facility

   The site plan should show the location of all facilities and defined areas, including collection facility(s), laboratory(s), storage facility(s) and isolation facility(s), where applicable. In this context, a permanent facility was formerly referred to as an ‘embryo collection centre’.

   d. documented procedures for:
      i. collecting of embryos
      ii. in vitro production of embryos (where applicable)

   For example collecting of ovaries/ova, ante mortem and post mortem inspection.

      iii. on-farm collection, where applicable, including a description or photograph of each intended on-farm collection facility
      iv. cleaning and disinfection as appropriate to the facility(s)
      v. isolation of animals and how isolation is maintained, where applicable. These must include a site plan
      vi. actions taken in the event of a breach in isolation of animals
      vii. cleaning, disinfection or sterilisation of equipment, where applicable
      viii. processing embryos, including details of media, and solutions, their source and, where necessary, how they are treated to avoid animal health risks
ix. labelling, packaging and storing embryos, methods of sealing and storage, and methods of maintaining an inventory of stored embryos
x. the preparation of animals prior to collection, as appropriate for the species involved
xi. managing shared facilities where different species of animals, or animals of the same species with different export status are present
xii. maintaining the integrity of a laboratory sample from collection and labelling through to submission
xiii. ensuring that appropriate laboratory submission forms are used for disease testing required for export
xiv. when approvals are surrendered/expired/cancelled, and the transfer of any remaining embryos, including their supporting documentation, to another centre/team for storage
xv. ensuring that, when embryos are received from other embryo teams for storage, all documentation required for determining the export status of the embryos at the time of export is available
xvi. control of visitors entering any processing and storage facility
xvii. actions taken in the event of an unfavourable test result, where applicable
xviii. conditions for the presence of other domestic animals, and specifically areas to which these animals are not allowed access
xix. record keeping methods that specify what records must be kept, how, and for how long
xx. 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
xxi. 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 ensure that annual internal audits are undertaken so that the embryo team is operating in compliance with Parts 5, 8 and 9 of this OAP, and for embryo teams that are also approved to store semen, Parts 6 and 7. Audit reports must be named, signed and dated by the auditor.

8.4.4 The team veterinarian must ensure that records are kept for all matters that demonstrate compliance with this Part of the OAP, 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. an up-to-date list of all pre-collection isolation facilities, where applicable, and a description or photographic record of each pre-collection isolation facility
e. visitor entry to the laboratory(s), storage facility(s) and isolation facility(s) (where applicable)
f. compliance with documented procedures
g. 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
h. all supporting documentation related to the collection, processing and storage of embryos
i. 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
j. a complete and accurate record, including a copy of the germplasm declaration, must be held for each export consignment

It is expected that such records will be easily accessible at all times (this includes during semen centre / embryo team approval audits).

k. 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.

8.4.5 The team veterinarian must ensure that animal records are 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

d. country of birth and date of import, where applicable
e. owner’s name and contact details
f. date on which pre-collection 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)

A collection facility includes any equipment used to restrain cattle during the collection process, and any associated surfaces that would under reasonable circumstances contact the animal or its secretions/excretions. 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 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 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 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 that comes into direct contact with embryos during collection may be reusable or disposable, but must be sterile prior to 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 laboratories that carry out embryo processing 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
   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 in situations where these are being stored in the laboratory
   e. entry is prohibited for non-authorised personnel
   f. all equipment that comes into direct contact with embryos during processing may be reusable or disposable, but must be sterile prior to 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. 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
   c. antibiotics and their concentrations added to the embryos must be recorded
   d. only embryos from animals of the same export status are processed at the same time
   e. 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
   f. cryogenic agent must not have been used previously
   g. each individual straw of embryos must be indelibly marked such that the date of freeze, breed and identification of the donor, and registration number of the embryo team can be readily established; alternatively a code, and a method to decipher it, for the above information can be used.
All issues relating to embryo quality and fertility are issues between the exporter and their customers, and are not part of this OAP.

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 approved by the Director-General 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 diagnosis, involving additional tests specified in the Export Requirements, see sections 6.12 and 6.13.

8.12.3 All laboratory testing specified in the Export Requirements must be carried out by a laboratory approved or recognised by the Director-General for requisite export testing.

The Animal Imports and 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 status as donor females.

8.14 Conditions of entry onto the facilities
8.14.1 Visitor and vehicle entry to the facility must be authorised, and comply with conditions laid down by the team veterinarian. The conditions must be made available to the visitor.

Such conditions could differentiate between the requirements for visitors and vehicles providing regular services e.g. stock, feed trucks, and other visitors.

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.

8.15 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, start using a mobile laboratory, 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 six or 12 months, in accordance with clause 8.17.5, or until the approval is surrendered or cancelled by the Director-General.

8.16.2 In order to maintain continuous approval, an embryo team must re-apply through the recognised person, using the application form, form 8 “Approval of an embryo team and embryo team veterinarian”, located in Appendix 1, and before the end of the approval period.

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 Each embryo team must be audited by a recognised person:
   a. before approval to operate is given
   b. at least once every six or 12 months thereafter (refer to section 8.17.5).

8.17.2 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.

8.17.3 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 Director-General, 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 cancelled.

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 once every six months for the first two audits. After two consecutive six-monthly re-approval 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 embryo teams are approved for storage only, the auditing interval will be extended to 12 months after two consecutive six-monthly re-approval audits without any major or critical non-compliance. The six-monthly auditing interval must be re-instated where any major or critical non-compliance occurs.
8.17.7 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.

8.17.8 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

c. include an audit at least once every 12 months of the embryo team carrying out collection and processing of embryos of each approved species and storage of all species. Where collection and processing have not been observed before the approval expiry date, approval will become provisional, and collection for export cannot occur

d. where an audit has not been undertaken by the approval expiry date, all embryos collected/processed/stored from that date until the date of the next approval will not be eligible for export unless an exemption is given by the Director-General. Extenuating circumstances, such that this is not possible, may be considered by the Director-General on a case-by-case basis.

8.17.9 Where an approval to operate is surrendered, expires or where it is cancelled by the Director-General, 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 that has the Director-General 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 that has the Director-General 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.

8.17.10 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.

8.17.11 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 8.17.9 c and 8.17.9 d.

8.17.12 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 recommendations to MAFBNZ regarding the approval of the embryo team. The report must be completed within 10 working days of the audit, sent to the Animal Imports and Exports Group and made available to the team veterinarian.

8.17.13 After receiving the audit report, the Animal Imports and Exports Group will update the registration database and notify the team veterinarian and the technical manager of the recognised agency.

8.17.14 Notwithstanding all of the above, the Director-General 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 Animal Imports and 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 Assurance and Risk, 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 Assurance and Risk investigation, the Director-General 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, “Template 2 Non-compliance report” located in Appendix I, must be sent to the Animal Imports and 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 must be closed out. Documentation which attests to this must be sent to the Animal Imports and Exports Group within 10 working days of the non-compliance being closed out.
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.  be provided with, and abide by:
   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. relevant parts of the chapters on “Collection and processing of embryos” and the chapters on “General obligations related to certification” and “Certification procedures” of the current version of the OIE Code
d.  have completed the “Conflict of Interest Declaration Form”, where applicable, and the application form, form 8 “Approval of an embryo team and embryo team veterinarian”, located in Appendix I.
e.  have a sound knowledge of the Export Requirements applicable to the commodity being exported.

Where an embryo team veterinarian determines that he/she may have a conflict of interest, the “Conflict of Interest Declaration Form” (located in Appendix 1) should be used to record the conflict of interest, the proposed strategy to manage it, and to gain agreement from MAFBNZ to this strategy. This will prevent a possible delay to an approval as an embryo team veterinarian.

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.  ensure that annual internal audits are undertaken
d.  arrange for embryo team audits by the recognised person
e.  be present at every approval audit unless an exemption is given by the Director-General. Extenuating circumstances, such that this is not possible, may be considered by the Director-General on a case-by-case basis. This applies to both provisional and full audits
f.  ensure that any corrective actions identified at an approval 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
i. ensure that animal intervention(s) or manipulation(s) undertaken by lay persons, comply with the Code of Professional Conduct for Veterinarians, issued by the Veterinary Council of New Zealand.

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 the Director-General.

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 Prior to each audit, the team veterinarian must submit the completed application approval form, form 8 “Approval of an embryo team and embryo team veterinarian” located in Appendix I, to the technical manager of the recognised agency. 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 Animal Imports and 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 Animal Imports and Exports Group of this change of status.
Part 10  Requirements for pre-export isolation facilities associated with export of live animals

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 i.e. the pre-export isolation facility needs to be listed on their website. The country listed is that known as of 2007. Appropriate enquiries to the Animal Imports and Exports Group 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 pre-export 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.
It is the exporter’s responsibility to work in collaboration with the facility operator to ensure that the isolation plan is approved. However, it is the facility operator’s responsibility to ensure that the isolation plan is implemented.

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 Animal Imports and 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 the risk of disease transmission is prevented
   b. provide appropriate management practices for the animals being isolated
   c. 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 follow the approved 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 status of the animals
      iv. management of any breach of isolation of animals
      v. management of ineligible animals
      vi. departure from the isolation facility
      vii. management of any off-loading during the transport to the port of departure
   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 Animals destined for export must not be in direct/indirect contact with animals of a lesser export status.
10.9.2 Facility boundaries must be such that the export animals are isolated from other animals that present a risk to the export status of the animals in isolation.

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

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

10.9.4 Where indoor accommodation is used, this must be cleaned and disinfected prior to entry of the animals destined 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 hygiene required in each facility.

10.10 Access to the facilities

10.10.1 Visitor and vehicle entry to the facility must be authorised, and comply with conditions laid down by the operator. The conditions must be made available to the visitor.

Such conditions could differentiate between the requirements for visitors and vehicles providing regular services e.g. stock, feed trucks, and other visitors.

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

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

10.11 Management of export status of the animals in isolation

10.11.1 Any changes to the export 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.
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 Director-General 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 status. Where off-loading of the animals is required, it must be into MAF-approved pre-export isolation facilities.

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, form 3 “Transportation” is located 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 MAF-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 MAF-approved must meet the requirements of sections 10.2 to 10.15 of this Part of the OAP, except clauses 10.4.2, 10.5.1 and 10.11.1 using the application form, form 9 “Approval for continuously-approved MAF-approved pre-export isolation facility”, located in Appendix I. In addition, the facility operator must ensure that annual internal audits are undertaken, 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 MAF-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.

10.14.4 In order to maintain continuous approval, a facility must re-apply through the recognised person, using the application form 9, “Approval for continuously-approved MAF-approved pre-export isolation facility” located in Appendix 1, and before the end of the approval period.

10.14.5 Approvals are subject to audits by a recognised person.

10.14.6 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.

10.14.7 Where an approval is surrendered, expires or where it is cancelled by the Director-General, an exit audit must be undertaken by a recognised person within 15 working days of termination of approval.

10.14.8 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 the Animal Imports and Exports Group and made available to the facility operator.

10.14.9 Notwithstanding all of the above the Director-General 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 Animal Imports and 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 Assurance and Risk, 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 “Template 2 Non-compliance report” located in Appendix I, must be sent to the Animal Imports and 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 must be closed out. Documentation which attests to this must be sent to the Animal Imports and 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:
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 has inspected the facility and verified its compliance with sections 10.16 to 10.19 of the OAP and any additional Export Requirements by the commencement 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 10.16 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 status of the animals in isolation.

The entry of any animals, having a lesser export status, 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 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 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.

10.18.13 Animals destined for export that leave the facility during the isolation period must not re-enter during that period.

10.18.14 The facility staff must immediately notify any breaches in the animals’ isolation status to the exporter.

10.18.15 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 Director-General on a case-by-case basis.

10.19 Departure from the facility
10.19.1 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, form 9 “Approval for continuously-approved MAF-approved pre-export isolation centre”, located in Appendix I.

10.19.2 Load-out from the facility must occur only when authorised by the recognised person or his/her nominated representative.

10.19.3 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 status. Where off-loading of the animals is required, it must be into facilities that meet the requirements of sections 10.16 to 10.19 of the OAP.

10.19.4 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, declaration form 3 “Transportation” located in Appendix I.

10.19.5 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.
Part 11  Requirements for live bees

11.1  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.

11.2  General requirements

11.2.1  All exporters of live bees must meet the requirements of Part 2 and 5 of this OAP.

11.3  Requirements for approval and registration

11.3.1  A bee exporter may elect to be approved and registered by the Director-General 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.

11.3.2  The Director-General 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 team’s work manual. A Conflict of Interest Declaration and an application for approval, application form 10 “Approval of a bee team” are located in Appendix I.

11.4  Bee team staff

11.4.1  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.

11.4.2  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 the Director-General.

11.4.3  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.

11.5  System requirements of approved bee teams

11.5.1  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.

11.5.2 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.

11.5.3 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.

11.5.4 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.

11.6 Export testing

11.6.1 Any testing specified in the Export Requirements must be carried out by a laboratory approved or recognised by the Director-General for requisite export testing.

The Animal Imports and 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.

11.7 Reporting requirements

11.7.1Prior 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.

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

11.8 **Team approvals**

11.8.1 An approval is valid for a maximum of 12 months, or until the approval is surrendered, or cancelled by the Director-General.

11.8.2 In order to maintain continuous approval, a team must re-apply through the recognised person using the application form, form 10 “Approval of a bee team” located in Appendix 1, and before the end of the approval period.

11.8.3 An approval is subject to audit.

11.9 **Audits**

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

11.9.1 Each bee team must be audited by a recognised person:

   a. before approval to export is given
   b. at least once every 12 months thereafter.

11.9.2 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.

11.9.3 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.

11.9.4 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.

11.9.5 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 5.8.

11.9.6 Audits for continuous approval must meet the following requirements:

   a. be carried out at least once every 12 months
   b. be an audit based on this part 11 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.

11.9.7 Where an approval is surrendered the recognised person must be notified prior to this event.

11.9.8 The process to regain approval is per section 11.9.3. However, if the period of non-approval is greater than two years, sections 11.9.3 and 11.9.4 must apply. Any non-compliance found at the exit audit must be closed out prior to regaining approval.

11.9.9 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 makes recommendations regarding the approval of the bee team. The report must be completed within 10 working days of the audit, sent to the Animal Imports and Exports Group and made available to the bee team.

11.9.10 After receiving the audit report the Animal Imports and Exports Group will update the registration database and notify the bee team and the technical manager of the recognised agency.

11.9.11 Notwithstanding all of the above, the Director-General reserves the right to carry out an audit where it is deemed to be necessary.

11.10 Non-compliance

11.10.1 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 Animal Imports and 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 Assurance and Risk, who must provide a report and make recommendations regarding the reinstatement or cancellation of approval of the bee team.

11.10.2 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 “Template 2 Non-compliance report” located in Appendix I, must be sent to the Animal Imports and 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 must be closed out. Documentation which attests to this must be sent to the Animal Imports and Exports Group within 10 working days of the non-compliance being closed out.
Part 12  Appendix I: Application and declaration forms

Microsoft Word versions of the Appendix forms are available on the website at: http://www.biosecurity.govt.nz

Application Form 1: Recognised Agency (live animals and germplasm)
Application Form 2: Recognised Person (live animals and germplasm)
   Consent to Disclosure of Information
   Comments of the New Zealand Police
Application Form 3: Use of security paper
Application Form 4: Use of security seals
Application Form 5: Approval for access to export template certificates
Application Form 6: Approval of a semen centre
Application Form 7: Approval of a semen centre veterinarian
Application Form 8: Approval of an embryo team and embryo team veterinarian
Application Form 9: Approval for continuously-approved MAF-approved pre-export isolation centre
Application Form 10: Approval of a bee team
Conflicts of Interest Declaration Form

Declaration Form 1: Export certification
Declaration Form 2: Export certification for farm/premises/herd/flock of origin
Declaration Form 3: Transportation
Declaration Form 4: Pre-export isolation in non-MAF-approved facilities
Template 1: Audit Report from recognised agency
Template 2: Non-compliance report
**Application Form 1: Recognised Agency (live animals and germplasm)**

<table>
<thead>
<tr>
<th>This application for initial and annual recognition as an agency is made under section 102 of the Animal Products Act 1999.</th>
</tr>
</thead>
<tbody>
<tr>
<td>The consent for disclosure form must be 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.</td>
</tr>
<tr>
<td>Send the completed application and other appropriate documentation to MAFBNZ, attention: Manager, Animal Imports and Exports Group at the above address.</td>
</tr>
<tr>
<td>The application fee and assessment fee will be charged each time new functions and activities are applied for.</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>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 Animal Imports and Exports Group in writing.</td>
</tr>
<tr>
<td>The MAFBNZ conflict of interest policy is available on the MAF website at <a href="http://www.biosecurity.govt.nz">http://www.biosecurity.govt.nz</a></td>
</tr>
</tbody>
</table>

1. **Applicant name** (registered company name or partnership names (including the trading name) or sole trader name)

   Full legal name of applicant: .................................................................................................................................

   **Company** - provide the name of the company as registered under the Companies Act 1993.

   **Partnership** - provide the full legal names of all individuals or companies within the partnership and if applicable, the trading name used by the partnership. The use of initials for individuals is not permitted and the full legal name of all individuals or companies must be supplied. The name will appear on the Notice of Recognition in the format “<partner names>, a partnership trading as <trading name>” and as stated in the application form.

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><strong>a) List of functions</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Issuing eligibility documents for all animal species (excluding bees and broodcomb) and germplasm.</td>
<td></td>
</tr>
<tr>
<td>2. Issuing eligibility documents for bees and broodcomb.</td>
<td></td>
</tr>
<tr>
<td>3. Auditing semen centres and embryo teams and recommending their approval, and verifying germplasm declarations.</td>
<td></td>
</tr>
<tr>
<td>4. Auditing bee teams and recommending their approval, and verifying bee declarations.</td>
<td></td>
</tr>
<tr>
<td>5. Approving isolation plans and verifying facility compliance for MAF-approved pre-export isolation facilities.</td>
<td></td>
</tr>
<tr>
<td>6. Approving isolation plans and verifying facility compliance for pre-export isolation facilities.</td>
<td></td>
</tr>
<tr>
<td>7. Auditing continuously-approved MAF-approved pre-export isolation facilities.</td>
<td></td>
</tr>
<tr>
<td>8. Approving consignment plans for export of large consignments of livestock</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>b) Names of persons to be recognised</strong></th>
<th><strong>c) Specified functions (list No’s as above)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>e.g. Mary Smith</td>
<td>e.g. 1, 3, 5</td>
</tr>
</tbody>
</table>

**Note:** Boxes b) and c) must be completed in the table above, unless a schedule is provided.

6. **Documentation required and to be attached:**

- [ ] 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, Animal Imports and 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 Animal Imports and 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: ........................................................................................................................................ 

Fax No: ............................................................................................................................................ 

Email: ............................................................................................................................................... 

5. Functions management table:

<table>
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<td>3. Auditing semen centres and embryo teams and recommending their approval, and verifying germplasm declarations.</td>
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<tr>
<td>4. Auditing bee teams and recommending their approval, and verifying bee declarations.</td>
</tr>
<tr>
<td>5. Approving isolation plans and verifying facility compliance for MAF-approved pre-export isolation facilities.</td>
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<tr>
<td>6. Approving isolation plans and verifying facility compliance for pre-export isolation facilities.</td>
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<tr>
<td>7. Auditing continuously-approved MAF-approved pre-export isolation facilities.</td>
</tr>
<tr>
<td>8. Approving consignment plans for export of large consignments of livestock.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>b) Names of person to be recognised</th>
<th>c) Specified functions (list No’s as above)</th>
<th>d) Evidence of competency and date(s) of assessment by the recognised agency (refer to section 4.10-4.17 of the OAP).</th>
</tr>
</thead>
<tbody>
<tr>
<td>e.g. Mary Smith</td>
<td>e.g. 1</td>
<td>e.g. provide documentation to show that the requirements of 4.10 of the OAP have been met.</td>
</tr>
</tbody>
</table>

Note: Boxes b), c) and d) must be completed in the table above, or provided as an attached schedule or spreadsheet in a comparable format.

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 verifying 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 non-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 Records (Clean Slate) Act 2004.

Signed.................................................  Date..................................................................

COMMENTS OF THE NEW ZEALAND POLICE

NOTE: This page must be printed on letterhead paper
Appendix I: Application and declaration forms

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 6140.

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 Animal Imports and Exports Group.

If there are any changes to the details provided in this application subsequent to registration, the applicant must inform the Manager, Animal Imports and Exports Group, in writing immediately.

Please obtain the latest copy of the application form from the MAFBNZ website at: [http://www.biosecurity.govt.nz](http://www.biosecurity.govt.nz).

<table>
<thead>
<tr>
<th>Name of exporter:</th>
<th>.............................................................................................................</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telephone number of exporter:</td>
<td>........................................................................................................</td>
</tr>
<tr>
<td>Address of exporter:</td>
<td>.......................................................................................................</td>
</tr>
<tr>
<td>Email address of exporter:</td>
<td>.......................................................................................................</td>
</tr>
<tr>
<td>Registration number of exporter:</td>
<td>........................................................................................................</td>
</tr>
</tbody>
</table>

I, ................................................................, declare that:

a. I am applying for approval to hold security paper

b. I have read and understood the relevant Parts of this MAF BNZ Official Assurance Programme Requirements for Export of Live Animals and Germplasm (OAP) and in particular section 5.12

c. I undertake to inform the Manager, Animal Imports and 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.

| Exporter’s signature: | .......................................................... Date: ....................... |

Animal Imports and Exports Group Use Only

Approved: □ Yes □ No

| Signature: | .......................................................... Date: ....................... |
Application Form 4: Use of security seals

Send the completed application and other appropriate documentation to the Manager Animal Imports and Exports Group, MAFBNZ.

If there are any changes to the details provided in this application subsequent to registration, the applicant must inform the Manager Animal Imports and 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 MAF BNZ Official Assurance Programme Requirements for Export of Live Animals and Germplasm (OAP) and in particular section 5.13

c. I undertake to inform the Manager of the Animal Imports and 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.

Exporter’s signature: .................................................................................. Date: .............

Animal Imports and Exports Group Use Only

Approved: □ Yes □ No

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 5.14 of the OAP.

Send the completed application form together with any required fee and other appropriate documentation to the Manager, Animal Imports and 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, Animal Imports and Exports Group in writing.

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 for access to the export certificate template site

b. I have read and understood the relevant Parts of the MAF BNZ Official Assurance Programme Requirements for Export of Live Animals and Germplasm (OAP) and in particular section 5.14

c. I undertake to inform the Manager, Animal Imports and 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) contains 
offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.

Exporter’s signature: ................................................................. Date: .........................

Animal Imports and Exports Group Use Only

Approved: □ Yes □ No

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, Animal Imports and 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:

   Note: approval for collection and processing also includes approval for storage of all species.

   □ bovine
   □ small ruminant
   □ cervine
   □ equine
   □ other – please specify ..................................................

   □ storage ONLY (applies to all species)

   Note: Tick this box if applying for storage ONLY.

   □ pre-entry isolation

b. I have read and understood the relevant Parts of this OAP and will abide by them

c. I have read and understood the MAFBNZ conflict of interest policy

d. I am not the centre veterinarian and 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.

Note: where the semen centre manager and the centre veterinarian are the same person, this person
will declare and manage the conflict of interest as a centre veterinarian, as per Application Form 7.

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) contains
offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.

Semen centre manager’s signature: ............................................................ Date: .......................... ..

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, Animal Imports and 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, understood and will abide by 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. relevant parts of the chapters on “Collection and processing of semen” and the chapters on “General obligations related to certification” and “Certification procedures” of the current version of the OIE Code.


e. I confirm (please tick) that:

   □ I do not have any conflict of interest that would prevent me verifying germplasm for export
□ I have managed my conflict(s) of interest to the satisfaction of MAFBNZ (please attach signed declaration form from 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.

Semen centre veterinarian’s signature: ..............................................................  Date: ....................

Recognised agency use only

Recommendation for approval: □ Yes  □ No

◊ Referred to Animal Imports and 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, Animal Imports and 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:

Note: approval for collection and processing also includes approval for storage of all species.

- □ collection and processing of the following species:
  - □ bovine
  - □ small ruminant
  - □ cervine
  - □ equine
  - □ other – please specify ..............................

- □ storage ONLY (applies to all species)

  Note: Tick this box if applying for storage ONLY.

- □ pre-collection 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 and will abide by them:
   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. relevant parts of the chapters on “Collection and processing of embryos” and the chapters on “General obligations related to certification” and “Certification procedures” of the current version of the OIE Code.

f. I confirm (please tick) that:
   □ I do not have any conflict of interest that would prevent me verifying germplasm for export
   □ I have managed my conflict(s) of interest to the satisfaction of MAFBNZ (please attach signed declaration form from MAFBNZ).

For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.

Embryo team veterinarian’s signature: ................................................................. Date: ....................

Recognised agency use only

Recommendation for approval: □ Yes □ No

□ Referred to Animal Imports and Export’s Group (report attached)

Recognised person’s signature: ................................................................. Date: ....................
### Application Form 9: Approval for continuously-approved MAF-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, Animal Imports and 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 | |
| Pre-export isolation facility manager’s signature: | ...............................................................  Date: ................. |

**For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.**

<table>
<thead>
<tr>
<th>Recourse agency use only</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recommendation for approval: □ Yes □ No</td>
</tr>
<tr>
<td>0 Referred to Animal Imports and Exports Group (report attached)</td>
</tr>
</tbody>
</table>

| 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, Animal Imports and 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: .........................................................................................................................

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 have managed my conflict(s) of interest to the satisfaction of MAFBNZ (please attach signed declaration form from 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this OAP.
Appendix I: Application and declaration forms

Bee team manager’s signature: ................................................................. Date: .........................

Recognised agency use only

Recommendation for approval: □ Yes □ No

☐ Referred to Animal Imports and Exports Group (report attached)

Recognised person’s signature: ................................................................. Date: .........................
Conflict of Interest Declaration Form

Send the completed declaration and other appropriate documentation to the Manager, Animal Imports and Exports Group, MAFBNZ.

If there are any changes to the details provided in this declaration subsequent to approval, the applicant must immediately inform the recognised person in writing.

Please obtain the latest copy of the MAFBNZ conflict of interest policy, from the MAFBNZ website at: http://www.biosecurity.govt.nz.

Name: ......................................................................................................................... ..............................
Telephone: .................................................................................................................... ............................
Address: ...................................................................................................................... ............................
Email address: ................................................................................................................ ..........................
Name and address of semen centre/embryo team/bee team: ....................................................................
Registration number (where known):............................................................................................. ...........
Veterinary Council registration number (where applicable) : ............................................................

I, .................................................................., declare that:

a. I have read and understood the MAFBNZ conflict of interest policy

b. I have identified the following conflicts of interest in my role/proposed role as a semen centre veterinary/ embryo team veterinarian/ bee team manager (strike out the options that do not apply):
c. I propose to manage my conflict of interest in the following manner:


d. I undertake to inform the recognised person responsible for the semen centre/embryo team/bee team named above if any details provided on this form change

   Signature:                      Date: .....................................................

   MAFBNZ use only

   θ The conflict of interest has been managed to the satisfaction of MAFBNZ

   Group Manager Animal Imports and Exports: ...................................................... Name

   ...................................................... Signature

   ...................................................... Date
Declaration Form 1: Export certification

<<type>> DECLARATION FOR <<commodity>> TO <<country>>

__________________________  ____________________________
(given name and surname)  (address)

being the _______________________________
(e.g. owner, breeder, transporter, veterinarian in charge)

hereby 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 1.4.2 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this MAF BNZ Official Assurance Programme Requirements for Export of Live Animals and Germplasm (OAP).

__________________________  ____________________________
Signature:  Date:

Organisation name (where applicable): ______________________________
Appendix I: Application and declaration forms

Telephone: ____________________________ Facsimile: ____________________________
Declaration Form 2: Export certification for farm/premises/herd/flock of origin

<<type>> DECLARATION FOR <<commodity>> TO <<country>>

(given name and surname) (address)

being the

(e.g. owner, breeder, veterinarian in charge)

identified below, hereby declare, with respect to that farm premises/herd/flock:

<<Insert information to be declared. This may be all or part of an export certificate clause(s).>

Additional information:

<<Insert any additional information gathered to support the declaration (see section 1.4 Interpretation of Export Requirements)>>

Description/Identification of farm/premises/herd/flock:

<<Insert identification of farm/premises/herd/flock >>

<table>
<thead>
<tr>
<th>Country of destination:</th>
<th>Scheduled date of export:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- The information that I have provided is true, correct and complete in every particular.
- I have checked the identification of the farm/premises/herd/flock 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this MAF BNZ Official Assurance Programme Requirements for Export of Live Animals and Germplasm (OAP).

Signature: __________________________ Date: __________________________

Organisation name (where applicable): __________________________________________

Telephone: __________________________ Facsimile: __________________________
Declaration Form 3: 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) will be sent directly from the pre-export isolation facilities to the point of export and, during transport, will have no contact with animal(s) of a lesser health status.

Additional information:

Date of disinfection

Method of disinfection:

Disinfectant used and concentration:

Departure time from premises of origin:

Scheduled 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 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this MAF BNZ Official Assurance Programme Requirements for Export of Live Animals and Germplasm (OAP).

Signature: Date:
<table>
<thead>
<tr>
<th>Organisation name (where applicable):</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Telephone:</td>
<td>Facsimile:</td>
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<td></td>
</tr>
</tbody>
</table>
Declaration Form 4: Pre-export isolation in non-MAF-approved facilities

(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
- there has been no breach in the isolation status of the animal
- any testing, treatments, inspections and examinations relating to these animals has been carried out
- a recognised person inspected the facility and verified its compliance by the commencement of the 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:

* these dates refer to the arrival at, and departure from, the isolation facility.

- 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) contains offences relating to deception under this Act.

For the wording of section 127(1) of the Act see section 1.3.9 of this MAF BNZ Official Assurance Programme Requirements for Export of Live Animals and Germplasm (OAP).

Signature: 

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 OAP 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:**

..................................................................................................................................................................

Signature of recognised person: Date

..................................................................................................................................................................

Signature of semen centre/embryo team veterinarian, pre-export isolation facility manager, or bee team manager: Date

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
Part 13  Documents incorporated by reference

13.1  Documents incorporated

13.1.1  The following documents are incorporated by reference, under section 168 of the APA, into this notice:

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

b. OIE Code the Terrestrial Animal Health Code:
   http://www.oie.int/eng/normes/mcode/A_summry.htm

c. OIE Code the Aquatic Animal Health Code:
   http://www.oie.int/eng/normes/en_amanual.htm

d. OIE Manual of Diagnostic Tests and Vaccines for Terrestrial Animals:
   http://www.oie.int/eng/normes/mmanual/a_summry.htm

e. OIE Manual of Diagnostic Tests for Aquatic Animals:
   http://www.oie.int/eng/normes/en_amanual.htm


13.2  Location of documents

13.2.1  Copies of the MAFBNZ conflict of interest policy can be obtained by:

a. emailing animalexports@maf.govt.nz or

b. phoning 0800 00 83 33.