

5.4.1 Minor Non Compliance Examples

- a. Illegible handwriting
- b. Incorrect date format
- c. Practice Manual incomplete (wrong version, undated, approved vet details missing or need updating etc.)
- d. Export certificate Order Verification and Receipt forms not returned to AsureQuality
- e. Copy of export certificate not sent to AsureQuality within TEN working days of issuing to exporter
- f. MPI Approval Number incorrect (but Practice Name / Details complete)
- g. Old MAF Approval number used (but Practice Name / Details complete)
- h. Vet Practice details not present or incomplete (but correct MPI number present. i.e. can identify the practice)
- i. No scheduled flight number
- j. Owner/exporter/representative/veterinarian FULL name not present (incomplete)
- k. Requested documentation not provided to AsureQuality within 10 working days after the initial request

5.4.2 Major Non-Compliance Examples

- a. Striking out or ticking of options/clauses that are not applicable e.g. residency clause ticked for cat
- b. Owner/exporter/representative/veterinarian NAME not present or not matching supporting documentation (can't identify signing vet)
- c. Name/sex/age of animal not present, incomplete, or not matching supporting documentation
- d. Australian/ New Zealand residential address not present, incomplete, or not matching supporting documentation
- e. Requested documentation not provided to AsureQuality within 20 working days after the initial request
- f. Unable to provide copies of supporting documentation to AsureQuality with export certificates for practice audit e.g. OSD
- g. No evidence or failure of internal audit / monitoring of export certificates (i.e. wrongly classifying non-compliances, not detecting non-compliances on internal monitoring)
- h. Failure to notify AsureQuality of changes in the PEPM or veterinarians for the practice within TEN working days.
- i. Not signing off errors as per Part 4.6.r. but where the auditor can establish the truthfulness of the correction

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e.g. 12/~~12~~/2015 not signed

- j. Unapproved alterations or additions to the export certificate or OSD where the auditor can establish the truthfulness of the alteration or correction e.g. Hand writing extra information on the certificate e.g. writing on the cert “12 weeks old”
- k. Export certificate inventory recording errors e.g. information missing or transcription errors. These are transcription errors - not missing records
- l. Veterinarian signed the certificate before the exporter signed it (with sufficient explanation) e.g. Exporter made an error when entering “date of signing” and copied the “scheduled date of export” to the “date of signing”, and vet failed to detect the error. This is not a failure of certificate control (i.e. the certificate did not leave the practice unsigned)
- m. Vet Practice details not present or incomplete (auditor unable to identify the MPI approved practice)
- n. More than four errors/corrections on an export certificate
- o. Training records (Appendix C) not completed, evidence insufficient
- p. Not ticking the owner/exporter/representative box which means the auditor is unable to identify who is signing for the cat or dog

5.4.3 Serious Non-Compliance Examples

- a. Requested documentation not provided to AsureQuality within 30 working days after the initial request
- b. Four or more MAJOR errors representing a failure of the practices quality system or veterinary certification
- c. Export certificate details incorrect (not matching supporting documentation) for MC#, Species, Breed, Residency – affects integrity of export)
- d. Unable to provide copies of original export certificates to AsureQuality requested for practice audit
- e. Export certificate inventory incomplete e.g. missing records of received, signed, returned/cancelled export certificates, balance incorrect, includes not cancelling certificates correctly
- f. Failure of export certificate control e.g. practices losing or selling export certificates to exporters
- g. Evidence that the export certificate may have left the practice unsigned - meaning the veterinarian signed the certificate before the exporter signed it (without sufficient explanation)
- h. Evidence that the export certificate has been signed/issued without all appropriate parts completed for Exporter Signature and Date, Species, Residency, MC#, Scheduled Date of Export, Veterinarian Section Residency Box not Ticked (dogs), Africa clause not ticked (if required), Veterinarian Signature and Date
- i. Unapproved alterations or additions to the export certificate or OSD where the auditor can NOT establish the truthfulness of the alteration or correction e.g. microchip sticker used, clauses blacked out etc.

- j. Signing and issuing old version of the export certificate
- k. Export certificate signed by a veterinarian not approved for that practice at the time
- l. Failure to rectify any major or serious non-compliance(s) within 30 working days of notification by AsureQuality
- m. Use of twink (erasing liquid) or making errors unidentifiable
- n. Lack of test records attached to the export certificate (if required)
- o. Failure to declare a conflict of interest
- p. Animal rejected by Department of Agriculture due to dangerous breed
- q. Examination time > 5 days prior to scheduled date of export (without dispensation)
- r. Confirmation of evidence which has caused MPI to suspect the certification of an animal which was unfit to travel at the time of certification
- s. Non-disclosure of unfavourable test or examination results
- t. False certification by the veterinarian e.g. Export certificate signed by a veterinarian not approved at ANY practice. Misinterpretation of a test result
- u. Animal exported to Australia without a microchip

MPI will consult with, and notify, the Veterinary Council in circumstances where there is evidence of:

Significant breaches of the Code of Professional Conduct such as dishonest or fraudulent behaviour, and / or serious and repeated non-compliance with the programme requirements which raises concerns about the veterinarian's competence.