Ministry for Primary Industries
Manatū Ahu Matua

Guidance Document

CATDOG.TF

Guidance Document for Cat and Dog Transitional Facilities

16 January 2013

This document is intended as a guidance document accompanying the Standard for Cat and Dog Transitional Facilities. This document outlines the minimum levels of best practice that a facility and operator should follow. Facilities and operators may either follow examples as provided in this guidance document, or develop systems tailored for their operations that are equal to the measures described or meet the same level of biosecurity outcome. These measures must be approved by MPI prior to use.

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Growing and Protecting New Zealand

Contents

Review and Amendment

This guidance document is subject to review and amendment at any time, to ensure that it continues to meet biosecurity objectives.

Operators should ensure that the most recent version of this guidance document is used.

Amendment No.	Date	Reference
1	March 2010	
2	December 2010	
3	September 2012	Updated to align with new IHS for cats and dogs dated 16 December 2011. Formatting updated to include guidance document.

Important Disclaimer

MPI has taken every effort to ensure this publication is accurate. However, MPI does not accept responsibility or liability for any error of fact or omission or for any loss suffered by any person as a result of reliance on this document.

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Acronyms

MPI	Ministry for Primary Industries	IHS	Import Health Standard
Act	Biosecurity Act, 1993	NCR	Non-Compliance Report
BACC	Biosecurity Authority / Clearance Certificate	TF	Transitional Facility
CAR	Corrective Action Request	IATA	International Air Transport Association

Guidance Document for Cat and Dog Transitional Facilities

1. Introduction

This document has been developed as a practical guide to implementing the requirements set out in the *Standard for Cat and Dog Transitional Facilities*, prepared by MPI Import and Export Animals.

2. Scope

The *Standard for Cat and Dog Transitional Facilities* includes the minimum requirements for transitional facilities holding cats and dogs that have been directed on arrival in New Zealand to a transitional (quarantine) facility.

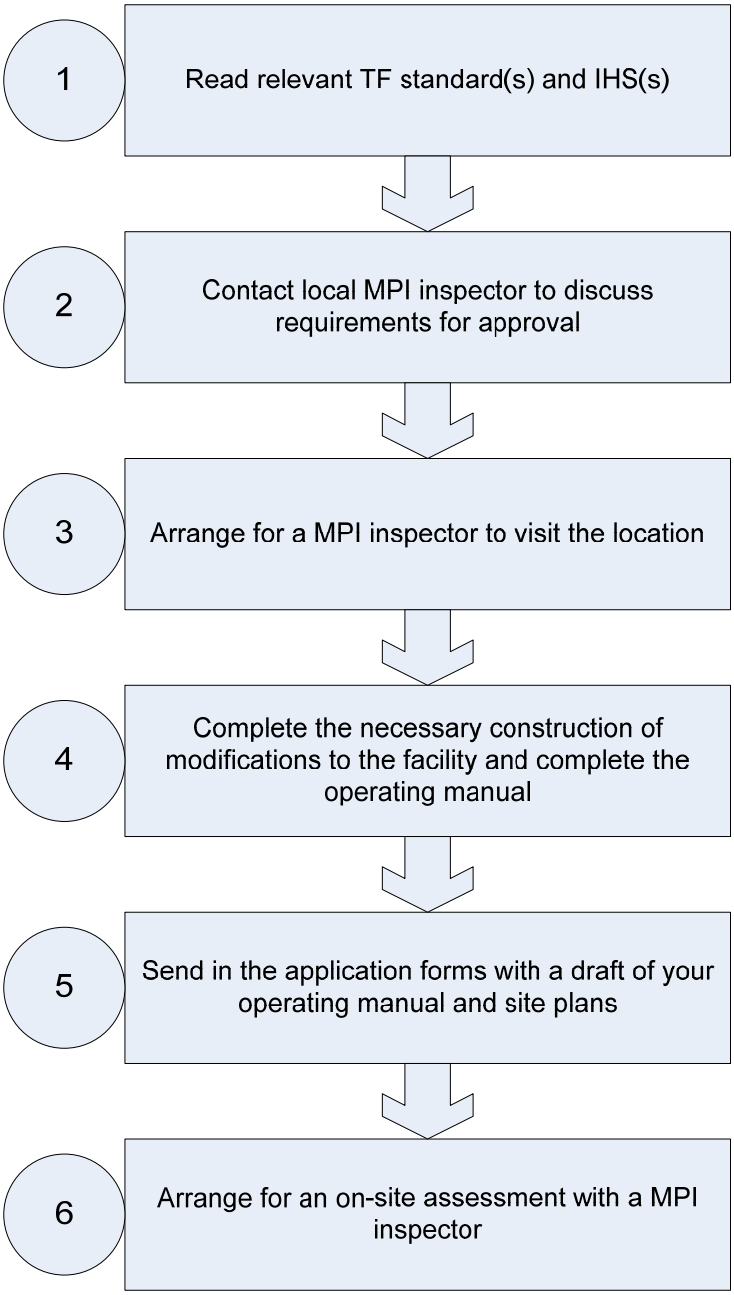
This document is intended as a guidance document accompanying the *Standard for Cat and Dog Transitional Facilities*. This document outlines the minimum levels of best practice that a facility and operator should follow. Facilities and operators may either follow examples as provided in this guidance document, or develop systems tailored for their operations that are equal to the measures describe or meet the same level of biosecurity outcome. These measures must be approved by MPI prior to use.

3. Approval for Facilities and Operators

3.1 Approval of a Facility

Transitional facilities may encompass parts of or whole premises, and approvals will be limited to the purpose, scope, and activities described in the operating manual.

Any person wishing to have a place approved as a transitional facility should follow the procedure over the page:


1
Read relevant TF standard(s) and IHS(s)
2
Contact local MPI inspector to discuss requirements for approval
3
Arrange for a MPI inspector to visit the location
4
Complete the necessary construction of modifications to the facility and complete the operating manual
5
Send in the application forms with a draft of your operating manual and site plans
6
Arrange for an on-site assessment with a MPI inspector

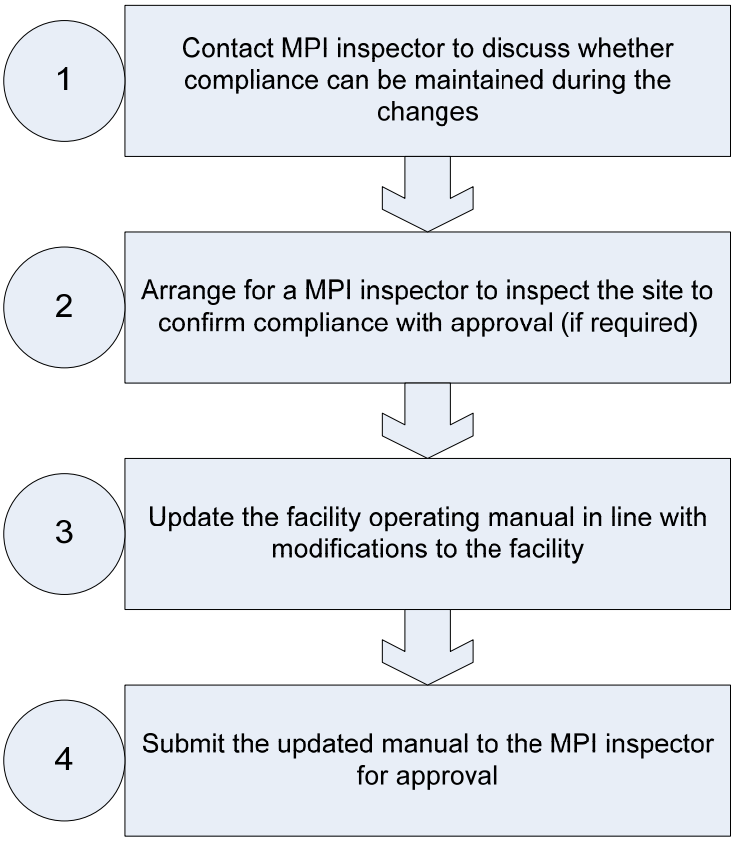
MPI must be satisfied that the applicant and facility have met the requirements of the standard before approval can be granted. Following the procedure above, the MPI inspector will review the application and operating manual and if satisfied, will send a recommendation for approval to the facility approvals manager. Facility approvals will be provided in writing.

3.1.1 Changes to a facility

MPI must be made aware of any major changes prior to them occurring to assess the implications for compliance with the standard. Major changes are those that could potentially have significant effects on biosecurity at the facility, such as construction or removal of walls, or significant changes in the description of activities to be carried out.

Minor changes are those that won't have significant effects on biosecurity at the facility, such as the employment of more staff. Minor modifications should be recorded and checked by the MPI inspector at the next visit.

An operator considering changes to a facility should follow the procedure below:



3.1.2 Leased facilities

The operators of leased facilities (where the company does not own the premises) must have the authority to be able to make any necessary changes that MPI may require to manage biosecurity, including possible structural changes. If this may be a problem it is advisable to discuss this with a MPI inspector.

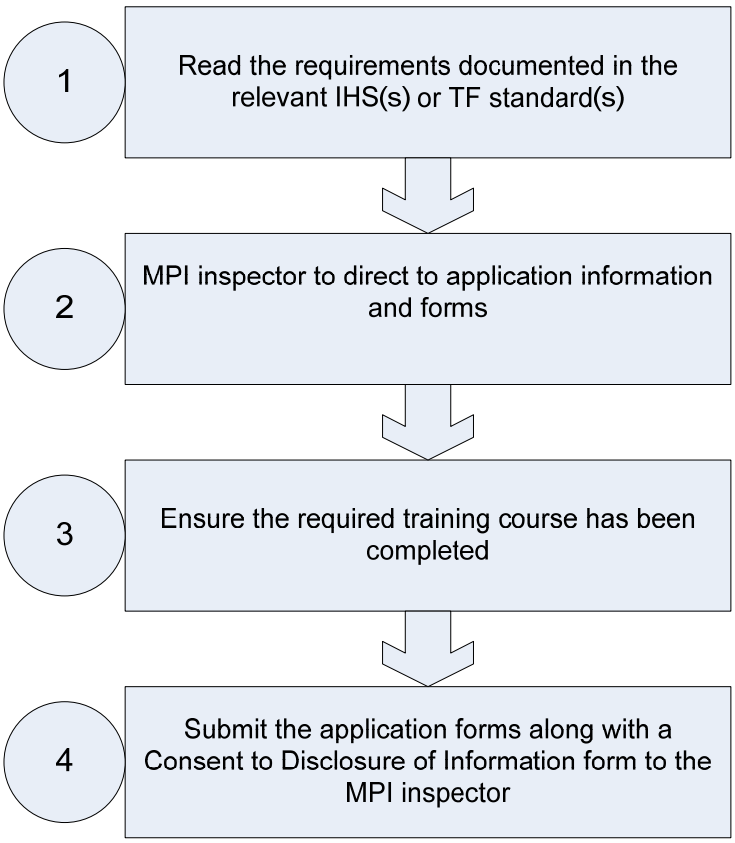
3.2 Approval of an Operator

3.2.1 General Provisions and requirements

Facilities must have an approved operator to ensure that the requirements of the standard are being met, and that the operating manual is being followed. This is the person who is responsible for activities relating to the operation of the facility.

An operator is normally an individual, but may be the Crown, a corporation sole, or a body of persons (corporate or unincorporated). If the operator is the Crown, corporation sole, or a body of persons, then an individual should be nominated who has delegated and written authority for the resourcing and operation of the facility. This individual will nominally be the operator.

Any person wishing to be approved as an operator of a facility should follow the procedure below:



MPI must be satisfied that the requirements of the standard can be met before approval can be granted. Following the procedure above, the MPI inspector will review the application and operating manual and if satisfied, will send a recommendation for approval to the facility approvals manager. Approval of an operator will be provided in writing and may be for an unspecified or specified period or until a specified event. A follow-up audit may be required to verify that the new operator is managing the facility appropriately.

The operator should have no ownership interest in animals in quarantine.

3.2.2 Deputy operators

Someone responsible for the transitional facility should be available at all times, in case of emergency. As such a deputy operator may be necessary at some sites. If an operator is primarily based off-site, or is to be absent for a long period of time (e.g. more than one month) during which uncleared animals are being received, a deputy operator should be present to perform the functions of the operator. In instances where this occurs a MPI inspector should be notified.

To gain approval as a deputy operator, applicants also need to take the operator training course and be named in the operating manual as a deputy operator.

3.2.3 Operator training

It is important that operators are aware of the different aspects of biosecurity, and as such new operators will have to undertake an operator training course prior to being approved by MPI.

4. Requirements for Operating a Facility

4.1 Operating Manual

The scope of an operating manual defines what a facility is approved for. The operating manual should include:

a) a table of contents, with a version number and date
b) numbered pages
c) a summary of amendments
d) the main functions and the purpose of the facility
e) a contact list of people charged with the responsibility for compliance with the standard. This should include the operator, any deputy operators and any staff carrying out activities required by the standard or operating manual. Note: It is not necessary to record the names of short-term staff in the manual but provisions should be made to ensure that names and employment dates are kept in company records
f) the responsibilities of the people listed above
g) other key contact details. These should include the MPI inspector, and 24-hour contact details of the practising veterinarian associated with the facility
h) a service agreement with the practising veterinarian associated with the facility
i) an estimate of the numbers of animals that will be housed at the facility on an annual basis
j) the maximum number of animals the facility will hold

k) documented procedures for:
   i. receipt and transfer of uncleared animals
   ii. facility access and security
   iii. segregation, including:
      - an inventory system that tracks the movement of animals within the facility, and in and out of the facility, including container seal numbers and whether or not they were intact upon arrival
      - movement of staff and visitors between the transitional facility and any other facility on site e.g. boarding kennels (if applicable)
   iv. record keeping
   v. repairs and maintenance of the facility
   vi. hygiene, including:
      - cleaning and disinfection as appropriate
      - use and storage of chemicals
      - holding and disposing of biosecurity waste
   vii. how pests, weeds and vermin will be managed or excluded from the facility, including a regime for residual insecticide treatment, where applicable
   viii. storage of chemicals and cleaning equipment
   ix. disease surveillance
   x. internal audit, including the regime for regular inspection
   xi. inspection, testing and treatment of identified biosecurity risk
   xii. signage
   xiii. inspection facilities
   xiv. biosecurity clearance
   xv. contingency plans identifying risk situations and the steps that will be taken to mitigate risks
   xvi. staff training
   xvii. external MPI audit
   xviii. reducing the risk of occupational, and health and safety accidents e.g. reducing the risk of bites during the inspection of animals
   xix. complaints
l) A site plan of the general layout of the facility (including location, perimeter fence, entrances and exits, signage and animal holding areas) with other features of significance marked (e.g. roads and houses). The site plan should also include:
   i. office facilities
   ii. inspection facility(s)
   iii. hygiene facilities, including hot and cold water supply, drainage, and waste disposal facilities
   iv. other buildings and operations on the premises e.g. domestic boarding facilities.
m) The MPI inspector may request that the manual be reviewed by another agency or an independent third party if further expertise is required.

4.2 Facility Location

Facilities will not be approved outside serviced areas (access to mains power and sewerage) unless it can be ensured that the facility will be secure, and sufficient measures will be in place to maintain biosecurity. All such measures should be described in the operating manual. Factors affecting the approval of facilities in more remote or rural areas include: distance from the port of entry, the likelihood of risk material being distributed in transit and the higher possibility that any exotic pests present with risk goods could establish quickly and undetected in the surroundings.

4.3 Receipt & Transfer

It is important that uncleared animals are properly managed to minimise biosecurity risks.

4.3.1 Transport

Cats and dogs should only be transported by an approved vehicle (listed in the operating manual) with a lockable, escape-proof compartment separate from the driver. The compartment should be lined with materials that can be cleaned and disinfected. The container should be transported in this compartment of the motor vehicle.

A sign stating that a quarantine animal is on board should be clearly displayed on the vehicle and on the container and a copy of the biosecurity authority (BACC) should be available in the vehicle.

The operator should ensure that the driver of the vehicle transporting the animal has undertaken training and assessment.

The animal should be carried in a container that meets IATA (International Air Transport Association) requirements. The MPI inspector should approve the container and use an approved seal issued by a MPI inspector. The animal should not be carried in association with any other animals unless they have the same quarantine status.

The health status of the animal should be maintained at all times during transfer.

Written documentation authorising the operator to receive, transfer or reship animals may include a permit to import, and/or a biosecurity authority (BACC).

The animal may also be transported to a transitional facility by a domestic commercial airline in an IATA-compliant container after a clear ectoparasite inspection has taken place by a MPI inspector. The container should be clearly marked to show that the animal is destined for a transitional facility.

The owner of the animal(s) is not permitted to transport the animal.

4.3.2 Receipt of uncleared animals into the transitional facility

Uncleared animals should be removed from the transport vehicle in their containers within a controlled and managed area within the locked perimeter fence.

A record should be made of container seal numbers and whether or not they were intact upon arrival. The seals should be retained until the animal is inspected by a MPI inspector.

Any bedding, toys or animal garments that arrive in the container that the animal has travelled to New Zealand in will be destroyed by a MPI inspector upon arrival in New Zealand. In the instance that a cat or dog arrives in a container and the bedding, toys or animal garments have not been destroyed, these should be immediately contained and destroyed by incineration upon arrival at the facility.

The containers should be inspected for ectoparasites and cleaned and

disinfected as appropriate.

4.3.3 Transfer of animals to another transitional facility

Operators of the sending and receiving transitional facility should communicate closely and notify the MPI inspector(s) to ensure a smooth transfer.

4.4 Internet Access

Having access to an on-line computer will help to manage a transitional facility. Internet access will facilitate communication with MPI, help to reduce compliance costs and streamline the movement, clearance and direction of uncleared animals.

4.5 Facility Access

Controlling access to a facility can help to ensure that uncleared animals are kept secure and contamination is not being accidentally spread. As such, operators should authorise any visitors and maintain a record of them. For example, records of the name, address, contact phone numbers, visit date and purpose of visit could be recorded in a logbook. The operator may grant authorisation to people to access the facility where the person has a responsibility for the delivery of functions within the facility (for example tradespeople, veterinarians).

Visitors, other owners/agents or those delivering functions or services to the facility, must be approved by the MPI inspector.

The operator should ensure that visitors follow relevant procedures in the operating manual and the instructions of the operator or MPI inspector.

The operator should allow owners or their agents to have contact with their own animals on a regular basis.

4.6 Facility Security

4.6.1 Perimeter fencing

The perimeter fence or wall should prevent the escape of animals in quarantine, the entry of non-quarantine animals and the unauthorised entry of people. The perimeter fence should not be able to be easily tilted or deformed.

Where perimeter fencing is used to contain dogs, it should be a minimum height of 1.8m with an additional 400mm of fencing facing inwards at 45º angles or the entire area between the perimeter fence and all buildings should be roofed with escape-proof material. If the fence is 2m or over, there is no requirement for additional features. If wire is used in the construction of the perimeter fence it should have a diameter not less than 2.0mm and a mesh size no greater than 50mm.

In cat facilities, the entire area between the perimeter fence and any buildings within the perimeter fence should be wired over.

Chain link or weld mesh may be used for the construction of the perimeter

fence, including any angled guard and wiring over to buildings or units within the perimeter.

The base of all perimeter fencing should be firmly secured to or sunk into concrete. Dependent upon the type of soil and the topography of the ground, the fence should be continued below ground for at least 400mm.

The perimeter fence should be at least 2.4 metres from buildings to prevent animals escaping from off the roof. However a building may form part of the perimeter fence if the walls are solidly constructed, windowless and without doors.

Any object that could provide a means of escape or entry for an animal should not be allowed to overhang the perimeter fence.

All access ways through the perimeter fence must be secured when not in use. At least one access way through the perimeter fence should be large enough to allow the entry of an approved vehicle to unload within the perimeter fence behind locked gates. If there is a gate for pedestrian access only, it should be self-closing, self locking, and require a key to gain access from outside the perimeter.

4.6.2 General construction

When facilities are being constructed or renovated, professional advice should be sought from people who have experience in building in animal industries.

Where possible, units should be constructed in blocks or self-contained groups to minimise the risk of disease spread and to aid security at the transitional facility.

Outside entrances to the animal units or block of units should be double-door ‘man-traps’. This entails having sufficient space between the doors to allow one door to be closed behind the person entering before the next door is opened, thereby preventing animals from escaping. The inner door, if solid, should include a viewing panel. These doors should be inward opening and self-closing. Whatever the design of the accommodation, there should be three doors between the animal and the area between the buildings and the perimeter fence.

All windows which pose a security risk should be escape-proof at all times.

All doors and locks required for the security of animals should be fitted with devices that make them escape proof.

Units should be separated by solid partitions (walls) or solid and wire dividers (walls with wire dividers) and should be constructed so that the animals cannot have physical or visual contact with each other.

Units should be constructed so that they are vermin proof.

The internal surfaces that animals have contact with should be constructed of impervious, solid, smooth material that can be effectively cleaned and disinfected. Corners and cracks in joints should be sealed with non-toxic sealant so as not to harbour microorganisms or ectoparasites.

Entry to units should be secured to avoid entry by non-authorised persons.

The doors between units and corridors should be solid and well fitted.

Flooring should have adequate drainage.

The transitional facility should be maintained in good condition.

4.6.3 Construction of cat units

Cattery units should be of the "walk in" type and not less than 1.8 metres high.

Cat blocks and cat units should be securely roofed. Light-weight roofing materials e.g. PVC should be securely under-wired with weld mesh.

The dividing partitions between adjoining exercise runs and sleeping compartments should be made of solid, smooth, hard, impervious material.

The mesh size for cats should be at least 2mm diameter and have a maximum mesh size of 25mm.

4.6.4 Construction of dog units

Sleeping compartment

Walls of the sleeping compartment should extend from the floor to the roof. If this is not practicable then the solid wall should be at least 1.8 metres high with the section above partitioned with escape-proof weld mesh with a wire diameter of not less than 2mm, and a mesh size not exceeding 50mm.

Exercise run

The dividing partitions between adjoining exercise runs, should be at least 1.8 metres high, and built to the following specifications:

> Solid, smooth, hard, and impervious material for at least the first 0.6 metres of height; above that, nose and paw-proof material.

If the upper section is made of wire it should comprise a double fence of weld mesh with a space between the two parts which will prevent animals in adjoining runs making contact with each other. The space should be not less than:

- 150mm where 50mm square mesh is used; or
- a space of 100mm will be acceptable if:
  - 25mm wide rectangular mesh is used, which is properly supported,
  - and if the two skins of the mesh are staggered so that the holes in one skin do not fall opposite the holes of the other,
  - or if the skins are fixed so that on one side the mesh holes are horizontal and on the other side they are vertical.

Exercise runs should be roofed over completely and securely.

4.7 Segregation

The segregation of uncleared animals is important to prevent contamination of other animals, the facility or the wider environment. In order to help do this,

the areas where uncleared animals are held should be clearly marked (for example, with signs). These marked areas should be managed to control pests and vegetation or any live animals.

Each unit should be identified with a permanent and unique number/mark and should carry a notice giving details of the identity of the animal and its owner.

If an animal is moved within the facility then full precautions should be taken to ensure security and to prevent potential transfer of infection to other animals.

Where domestic (New Zealand) animals are kept on the same site (e.g. in boarding kennels), the transitional facility should be maintained and run as a completely separate part of that site with separate equipment. Staff and visitors should be fully aware of the necessary hygiene procedures when moving between facilities e.g. removal of protective clothing, hand washing.

4.8 Record Keeping

Keeping a record of consignments and MPI documentation is important for the effective management of animals.

4.8.1 Facility Records

The following records should be kept and maintained:

a) facility plans, specifications, or any structural drawings
b) major or minor modifications to the facility
c) facility and operator approvals
d) any old versions and the current version of a facility operating manual
e) staff records including training and assessment
f) internal and external audits including date, auditor, non compliances and details of any corrective actions taken
g) audit dispensations
h) lease agreements or contracts with any other users of the facility
i) relevant standards
j) disease, pest, weed, and vermin control programmes
k) destruction of biosecurity waste
l) cleaning and disinfection records
m) inventory of chemicals used e.g. for cleaning, disinfection and disinsection and their location in the facility
n) repairs and maintenance
o) visitors accessing the facility
p) incidents, including animal bites
q) complaints and details of any actions taken.

Documents relating to each consignment should be kept together.

4.8.2 Consignment Records

The following records (where applicable) for each consignment of uncleared animals received at the facility should be kept and maintained:

a) permits to import (photocopy acceptable)
b) arrival date of the consignment in the transitional facility
c) consignment identifier (e.g. consignment number, air waybill number)
d) full inventory of the consignment
e) MPI inspections or treatment/testing of cats/dogs whilst in quarantine
f) written documentation authorising:
    - the operator to receive, transfer, or reship animals
    - the biosecurity clearance of animals
    - the removal of samples from the facility e.g. blood, urine, faeces
    - the removal of dead cats or dogs from the facility
g) owner/importer agreements/consents to perform treatments/testing
h) daily animal monitoring records
i) a record of any movement of uncleared animals between units
j) pests, unwanted organisms or other organisms found and any control actions taken (including contacting MPI)
k) date of biosecurity clearance, reshipment or euthanasia of animal.

4.9 Hygiene Requirements

An effective hygiene system will help to prevent the accumulation and possible spread of contamination. As such, a facility should be cleaned before use and kept clean at all times. The operating manual will specify the hygiene procedures to be followed.

Equipment used for hygiene purposes (including a bin or broom, dustpan or other cleaning equipment) should be used only for biosecurity purposes within the facility and should be clearly labelled. This is to prevent cross-contamination occurring. The bin should be emptied as required and the waste material disposed of as described in the operating manual. The bin should be cleaned after being emptied.

Cleaning and disinfection agents should be chosen on the basis of their suitability, safety and effectiveness. Manufacturers' instructions for the use of these agents should be followed

After cleaning and disinfection, animal housing areas should be left to dry as long as possible prior to animals being returned to them.

Effective drainage is essential for hygiene.

Bedding, animal garments and/or toys used during quarantine should be treated to a standard acceptable by the MPI inspector. If ectoparasites are found on an animal during quarantine, any bedding, animal garments and/or toys used prior to the animal being confirmed as ectoparasite free must be destroyed. Items that cannot be treated to an acceptable standard should be destroyed at the end of the quarantine period of that animal.

Suitable clean overgarments and footwear should be available at entry/exit points, and should be worn inside the facility and not worn outside of the transitional facility.

Protective clothing that is non-disposable should either be commercially laundered or laundered at the transitional facility.

Appropriate footbaths/pads, disposable short coverings or footwear should be used at all entry/exit points.

Hand washing facilities e.g. hot and cold water with soap, or appropriate hand-washing gels or solutions should be used at all entry/exit points. Disposable towels should be used to thoroughly dry wet hands. Hand washing should also take place in between the handling of different animals.

Wherever possible, non-compliant animals should be handled after compliant animals.

Although quarantine is no longer considered a rabies mitigation measure, the operator and staff are advised to discuss vaccination against rabies with their own medical practitioners.

The operator should advise the MPI inspector within 24 hours if staff or visitors are bitten by an animal in quarantine.

4.9.1 Hospital facilities

There should be a veterinary examination and treatment room within the perimeter fence of the facility exclusively for animals undergoing quarantine.

This facility should be adequately resourced to be able to provide examination and treatment to animals undergoing quarantine.

Medical, surgical and anaesthetic equipment can be brought into the facility if it is adequately cleaned and disinfected before removal from the facility.

In extenuating circumstances, MPI may give approval to transfer an uncleared cat or dog to a veterinary clinic for treatment.

The operator should ensure that the practising veterinarian responsible for the treatment of an animal keeps the owner informed of the state of health of the animal.

4.10 Pest, Weed and Vermin Control

Pests and vermin can cause the spread of biosecurity risk material. It is important that vegetation is controlled so that pests do not have any nearby habitat or places of refuge. Pest control and weed control should be undertaken on a regular basis.

4.11 Disease Surveillance

The operator should ensure that animals are observed for signs of illness, injury, and abnormal behaviour periodically throughout the day and should report immediately to the MPI inspector any serious illness, changes of behaviour in the animals, or death. The operator should arrange for the practising veterinarian associated with the facility to examine the animal and inform the MPI inspector of the outcome.

The operator should ensure that animals are groomed and checked daily by facility staff for the presence of ectoparasites and signs of infectious disease. Bedding should also be checked daily for the presence of ectoparasites.

The cause of any disease or death within the quarantine period should be established under the supervision and direction of the MPI inspector. If the cause of death cannot be established, the brain of the animal must be examined for rabies.

The carcass of animals that die during quarantine should be destroyed by incineration under the authority of a MPI inspector.

Where a diseased animal has shared accommodation, the other animal(s) in the shared accommodation should not be given biosecurity clearance until evaluated by MPI.

The quarantine period of any animal may be extended by MPI if an outbreak of disease is suspected or confirmed.

The operator should ensure that animals that remain in quarantine for an extended period are checked by the MPI inspector at least once a week until biosecurity clearance is given.

4.11.1 Post-arrival laboratory testing

Diagnostic testing undertaken during post-arrival quarantine should be conducted through the MPI Investigation and Diagnostic Centre (IDC) laboratories unless MPI advises otherwise.

Sampling and submission of samples should be done under the supervision of a MPI inspector unless MPI advises otherwise.

4.12 Internal Audit of Facility

Regular self assessment of facility processes by the operator or delegate will ensure that a facility is operating to the requirements of the standard as described in the approved operating manual. A self assessment should also check that staff training is effective and that the operating manual is still relevant in its current form.

It may help to develop an audit checklist that can be used at the time of internal audit.

4.13 Inspection, Testing and Treatment of Identified Biosecurity Risk

It is important that if any biosecurity risks are detected they are addressed appropriately. The best options will be decided by a MPI inspector.

Facilities should have the use of an incinerator, or some other means authorised by a MPI inspector, for the disposal of carcases and other waste.

4.14 Signage

Having signage at the entrance(s) to a facility will let people know that the area is a transitional facility approved by the Ministry for Primary Industries, and that only permitted persons may enter. This sign should be of an

appropriate size and clearly visible to visitors. Operator or deputy operator contact details may also be added to the sign information. The MPI or MPI logos may not be used on the sign, as this is in breach of the Flags, Emblems, and Names Protection Act 1981. An example of a sign that could be posted at points of entry to a facility is shown below.

4.15 Inspection facilities

There should be room and equipment available for a MPI inspector to conduct inspection(s) in a safe and effective manner. Any equipment required for the purposes of MPI Inspection should be provided by a facility. Lighting in the inspection areas must also be sufficient (a minimum of 1000 lux for close inspection work; this will be measured at time of audit).

Inspection tables should be disinfected between animals.

Disinsection of the inspection room should be carried out on a regular basis.

4.16 Biosecurity clearance

The MPI inspector will issue a biosecurity clearance in writing to the operator when satisfied that:

- the conditions of the import health standard have been met
- the transitional facility has been operating according to the standard
- the animal is in good health and there is no sign of infectious disease or ectoparasites.

Animals will remain in the facility until these requirements have been met.

On clearance and release of an animal from the facility, the importer/owner should be advised in writing of the action to be taken if their cat or dog develops any signs of illness or if ticks are found, as follows:

- the animal should be taken to a veterinarian and the veterinarian informed of the animal's import history;
- the veterinarian should notify the exotic disease line (0800 809966) of any suspected or exotic disease or pest.

The MPI inspector may approve the movement of uncleared animals out of the facility prior to the end of the quarantine period if the animal is to be

exported overseas and the importing country agrees to import the animal without biosecurity clearance being given in New Zealand.

4.17 Contingency plans

Contingency plans are important so that in an emergency situation no biosecurity risks are inadvertently neglected. Any contingency plans must be included in the operating manual, and should address the actions to be taken in the case of an emergency or other unexpected event.

Examples of situations that may require contingency plans are:

- non-compliant documentation or test results
- lack of documentation or test results
- animal identification issues
- presence of ectoparasites
- presence of hitchhikers e.g. seeds in animal's coat.
- animal welfare – illness/injury
- signs of infectious or contagious disease
- sick or unwell animals
- suspected exotic disease
- escape
- insufficient separation from other animals with a different health status
- evacuation in the event of an emergency
- notification of a disease outbreak in the country of origin
- power outage
- vehicle breakdown or accident
- other accidents e.g. within the facility
- animal bites.

4.18 Staff training

There must be a training and assessment process in place to ensure that staff at the facility are aware of the requirements around biosecurity and the procedures in the operating manual. As such, a description of training for new staff and refresher training for current staff should be included in the operating manual. Records must be kept as proof that staff have undertaken and understand the training. A review of staff training procedures should also make up a component of a facility's internal audit.

Staff handling animals should be competent in animal handling.

5. External MPI Audit

In order to verify that facilities comply with the MPI requirements in the standard, a MPI inspector will conduct a facility audit.

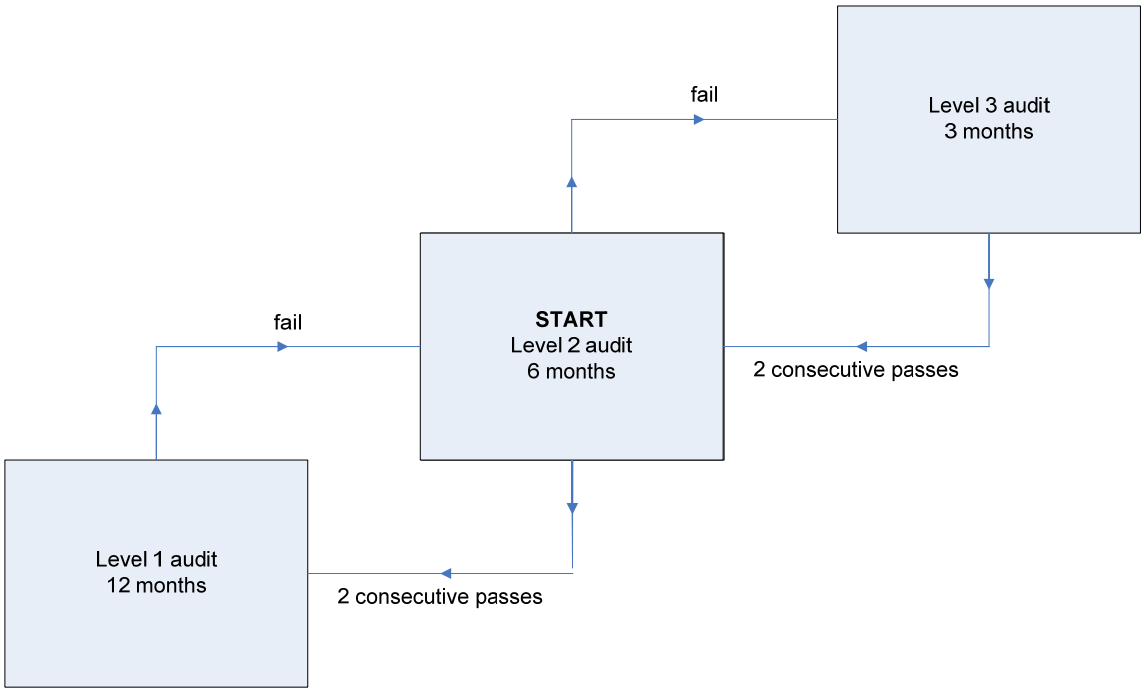
This will involve inspecting the facility and assessing procedures to make sure they meet the requirements of the standard and approved operating manual, and assessing any additional conditions documented on the permit to import and/or the import health standard by conducting an audit. The frequency of MPI audits will

depend on the compliance history of a facility; however at least one audit will be conducted every 12 months. Where MPI identifies a need, unscheduled surveillance audits may also be conducted.

5.1 Levels of Compliance

Compliance levels, based on MPI audit results, are used to assess the performance of facilities. They run from level one to level three.

Most new facilities will start at compliance level two, having at least one MPI audit every 6 months. After two satisfactory audits at this level the facility may, if the MPI inspector is satisfied, move to compliance level one, with audits dropping to every 12 months. However, if the facility fails an audit they will increase a compliance level. Each failed audit thereafter will cause the facility to increase a level. Lower levels can then only be gained after two satisfactory audits. If a facility is on the highest level, and they fail three consecutive audits, they may be suspended or cancelled



Note: In some cases the severity of a non compliance or group of non compliances may lead directly to facility or operator suspension or cancellation.

5.2 Non-Compliance

Details of any non compliance will be given to the operator on a MPI Corrective Action Request (CAR) issued at the time of MPI audit. This details the non compliance and lists the corrective action and/or preventative actions required, and the timeframe for these actions to be completed.

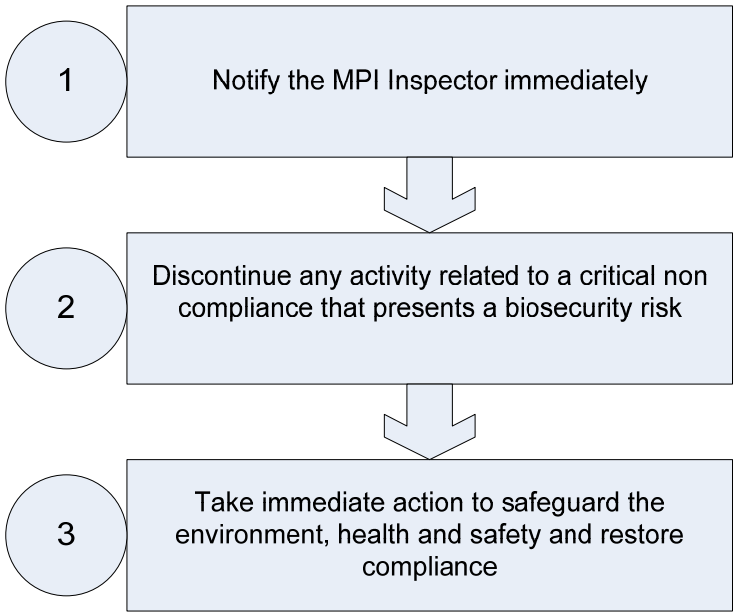
Facilities that receive non compliances may, at the discretion of the MPI inspector and in consultation with MPI, be subject to an increased number of audits or inspections as per the above described levels of compliance, until the MPI inspector can be confident that the facility is again compliant with the Standard (usually after two satisfactory audits). Non compliances will be graded as critical, major or minor.

6.2.1 Critical non-compliance

A critical non compliance is defined as a critical failure in an operation or system that caused or could have caused a serious risk to biosecurity, the environment, or the health and safety of people and/or communities. It can lead to cancellation of approval of a facility and/or operator. It may be a specific non compliance or a system with multiple non compliances having a cumulative effect. Critical non compliances may be created by escalation of outstanding issues from previous audits. Examples of critical non compliances include but are not limited to:

- releasing animals from a transitional facility without biosecurity clearance
- an operator allowing uncleared cats/dogs to be transferred to non-approved premises
- a significant failure in the structural containment provisions of a facility
- operating a facility without an approved operator
- making significant modifications to a facility without MPI approval.

In the event of discovering a critical non compliance, the operator must:



Critical non compliances may require further investigation and possibly lead to prosecution, depending on the nature and circumstances of the event. It is expected that at least one revisit audit will be required to ensure that the critical non compliance has been effectively resolved and measures have been taken to prevent its reoccurrence. The table below is a guide for the operator and the MPI inspector with regard to critical non compliances.

Note: reoccurrences will result in a higher level of action for all non compliances.

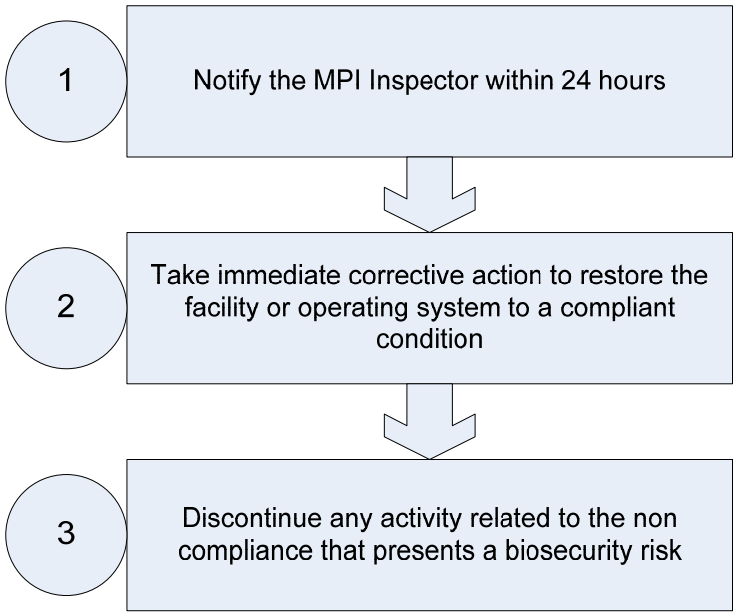
Number of critical non compliances	Result
1 or 2	Automatic audit fail, increase one compliance level
3+	Suspension until CAR is rectified, possible cancellation

6.2.2 Major non-compliance

A major non compliance is defined as a major failure in an operation or system that caused or could have caused a biosecurity risk. It may be a specific non compliance or a system with multiple non compliances having a cumulative effect. Major non compliances may be created by escalation of outstanding issues from previous audits. Examples of major non compliances include but are not limited to:

- failure to operate the transitional facility to the specifications of the standard and/or relevant import health standards
- failure of the operator to detect significant and obvious non compliances
- failure of the operator to rectify non compliances from previous audits
- required lighting broken or ineffective
- failure to operate the transitional facility to the specifications of the approved version of the operating manual.

In the event of discovering a major non compliance the operator must:



The table below is a guide for the operator and the MPI inspector with regard to major non compliances.

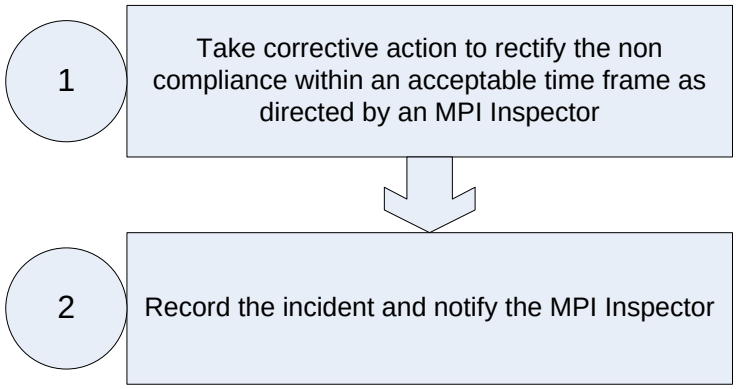
Number of major non compliances	Result
3-6	Automatic audit fail, increase one compliance level (3 major = 1 critical)
7+	Suspension until CAR is rectified, possible cancellation

6.4.1 Minor non-compliance

A minor non compliance is defined as a situation or incident that may not be a major failure but results in a decrease in confidence in the management of the facility and may or may not immediately cause or lead to a biosecurity risk. Examples of minor non compliances include but are not limited to the following:

- procedure not up to date
- inventory not accurate
- failure to maintain training records
- missing signage.

In the event of discovering a minor non compliance, the operator must:



Audits will also take into account previous audit results and any records of non compliances. For example, if a facility is displaying problems in a certain area (e.g. records management), A MPI inspector may choose to focus more on that area at the next time of audit. If problems are being found repeatedly in the same areas, these non compliances may escalate from minor to major to critical at the discretion of the MPI inspector.

Glossary of Terms

For the purposes of the Standard the following terms and definitions apply:

Approved	Means approved by the Director-General.
Audit	A systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which specific criteria are fulfilled.
Biosecurity Authority	Written authority from an inspector, given under section 25 of the Biosecurity Act 1993, to move uncleared goods from a transitional facility or biosecurity control area to another transitional facility, containment facility or biosecurity control area, or to export those goods from New Zealand.
Biosecurity Clearance	A clearance under section 26 of the Biosecurity Act (1993) for the entry of goods into New Zealand. (Explanatory note: Goods given a biosecurity clearance by an inspector are released to the importer without restriction).
Clean	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.
Corrective Action Request (CAR)	A request for a corrective action to rectify a non compliance.
Director-General	The chief executive of the Ministry for Primary Industries.
External Audit	An audit carried out on behalf of the Ministry for Primary Industries to measure compliance of the facility against this standard.
Import Health Standard (IHS)	A document issued under section 24A of the Biosecurity Act 1993, which specifies the requirements to be met for the effective management of risks associated with importation of risk goods, before those goods may be imported, moved from a biosecurity control area or a transitional facility, or given a biosecurity clearance.
MPI Inspector	A person who is appointed an inspector under section 103 of the Biosecurity Act (1993). (Explanatory Note: An inspector is appointed to undertake administering and enforcing the provisions of the Biosecurity Act and control imposed under the Hazardous Substances and New Organism Act 1996, and the Convention on the International Trade in Endangered Species). In the context of this standard, the audit of the facility, and inspection of animals within the facility will be done by a MPI veterinarian.
Internal Audit	An audit carried out by the company or organisation to evaluate its own performance in relation to the standard or prescribed criteria.
Operating Manual	The term “operating manual” in the standard means the quality, administrative and technical systems that govern the operations of a facility.

Operator	The person or organisation, approved by the Director-General, who has overall responsibility for a facility, under section 40 of the Biosecurity Act 1993.
Organism	Under section 2 of the HSNO Act 1996, an organism: (a) does not include a human being: (ab) includes a human cell: (b) includes a micro-organism: (c) includes a genetic structure, [other than a human cell], that is capable of replicating itself, whether that structure comprises all or only part of an entity, and whether it comprises all or only part of the total genetic structure of an entity: (d) includes an entity (other than a human being) declared to be an organism for the purposes of the Biosecurity Act 1993: (e) includes a reproductive cell or developmental stage of an organism.
Permit to Import	A permit issued by the Director-General of MPI pursuant to section 24D(2)of the Biosecurity Act 1993.
Pest	An organism specified as a pest in a pest management strategy, or an organism that could cause the spread of biosecurity risk material in or around a Transitional Facility (e.g. rodents, insects, etc).
Quarantine	Confinement of organisms or organic material that may be harbouring pests or unwanted organisms.
Risk Good	Any organism, organic material, or other thing, or substance, that (by reason of its nature, origin, or other relevant factors) may constitute, harbour, or contain an organism that may: (a) cause unwanted harm to natural and physical resources or human health in New Zealand; or (b) interfere with the diagnosis, management or treatment, in New Zealand, of pests or unwanted organisms.
Transitional Facility	(a) Any place approved as a transitional facility in accordance with section 39 of the Biosecurity Act 1993; or (b) A part of a port declared to be a transitional facility in accordance with section 39 of the Biosecurity Act 1993.
Uncleared Goods	means imported goods for which no biosecurity clearance has been given
Unwanted Organism	Any organism that a chief technical officer believes is capable or potentially capable of causing unwanted harm to any natural and physical resources or human health (Biosecurity Act 1993).
Vermin	Organisms that are to be excluded from the facility, e.g. rodents, birds, invertebrates etc.