

Manual for Official Controls

Chapter 3.1 Export of Meat and Meat Products

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1. Legislation

- 1.1 Regulation (EC) No 178/2002
- 1.2 Regulation (EC) No 852/2004
- 1.3 Regulation (EC) No 853/2004
- 1.4 Regulation (EU) 2017/625
- 1.5 Regulation (EC) 1688/2005

DEFRA is the Central Competent Authority for Trade and export of meat and meat products from the United Kingdom to the European Union and non-EU Countries. DAERA is the competent authority for trade in Northern Ireland and implements requirements on behalf of DEFRA.

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2. Intra Community and non-EU Country (NEC) Trade

- 2.1 FBO responsibility
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- 2.4 Non-EU Country (NEC) Exports
- 2.5 Non-EU Country (NEC) Approval
- 2.6 Inward Inspections from Non-EU Countries

2.1 FBO responsibility

It is the duty of the Food Business Operator (FBO) to ensure compliance with all relevant legislation regarding production of meat and meat products for export.

Depending on the destination and the type of product, the FBO may be required to put additional measures and controls in place regarding production of meat eligible for export.

2.2 DAERA responsibility

Additional official controls may also be required particularly in relation to non-EU country trade. These may be required to support certification of meat relating to matters which are beyond EU compliance. This may involve approval, audit, and verification of establishments and FBO procedures specific to non-EU country trade, specific microbiological analysis of carcasses / products for export, etc.

2.2.1 Internal audit of controls for non-EU country trade

DAERA carries out internal audit and verification of Veterinary Public Health Programme (VPH) delivery of non-EU country trade controls at slaughterhouses, cutting plants and cold stores. The audit takes the form of the Competent Authority Assessment and is carried out at the same frequency as non-EU country

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FBO audits, also called the trade audit. For more information on trade/non-EU country FBO audits see **Section 2.5.2 Maintenance of Approval –Verification Checks and Audit.**

To ensure adequate oversight, resourcing, performance of local teams, and delivery of official controls on behalf of non-EU countries at local level the outcome of the assessment is raised to regional manager level.

The competent authority assessment (an assessment of the provision of resource and delivery of official controls) is shared with the VPHP SPVO, the regional DVO and Trade Programme DVO. This provides the VPHP SPVO and regional DVO with relevant information and influences staffing and training needs and maintains governance over delivery of trade controls on each site audited.

2.3 Intra community trade and trade within the UK internal market

Intra community trade is movement of meat within European Union Member States and Northern Ireland. Meat and other products of animal origin produced in Northern Ireland can be placed on the EU market provided it:

- i. Has been produced in compliance with (EC) 852/2004 and (EC) 853/2004 in an approved establishment or establishments.
- ii. Has been subject to the official controls in (EU) 2017/625 and
- iii. Complies with any exceptional requirements and is not subject to specific restrictions.

Movement of meat and meat products within the EU, including Northern Ireland, is generally accompanied with a Commercial Document (CD) and no veterinary certification is required.

NOTE: Under the **Windsor Framework Agreement**, whilst Northern Ireland remains in **the same Sanitary and Phytosanitary (SPS) zone as the EU**, Great Britain is outside the zone. Therefore, any consignments of meat and meat products entering NI from GB after 1st January 2021 are treated as entering the EU SPS zone. Guidance on the DAERA website for further information is accessible here:

[Importing Products of Animal Origin \(POAO\) for Human Consumption from GB to NI | Department of Agriculture, Environment and Rural Affairs](#)

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Where meat and meat product moved from NI to GB will remain within the UK internal market in GB, no additional documentation is required apart from commercial documentation. However, additional documentation may be required for further onward movement. See Section 4.3 below.

2.3.1 Exceptions and restrictions to intra community trade

1. Bovine, porcine, and poultry meat for dispatch to Sweden or Finland must be accompanied by an appropriate trade document or certificate from the FBO stating that:
 - a. The [relevant] checks have been carried out with negative results; or
 - b. The meat is intended for [particular] purposes; or
 - c. The meat comes from an establishment covered by equivalent control system.

Regulation (EC) 853/2004 Article 8 and Regulation (EC) 1688/2005

2. Trade in beef is restricted to exclude the following:

Meat from animals born in UK before 01/08/1996.

Regulation: TSE Regulations (NI) 2010, Schedule 8, point 1

2.4 Non-EU country trade

A non-EU country (NEC), formerly referred to as a 'third country', is defined as one outside the UK and European Union (EU).

Meat and products of animal origin intended for export to non-EU countries must comply with EU Regulations unless otherwise requested by the competent authorities of the importing country. Any specific additional requirements of the importing country, as agreed between DEFRA and the importing competent authority, must also be adhered to. The specific requirements differ between non-EU countries, and it is the exporter's responsibility to be aware of and comply with any such requirements.

Such additional requirements may include specific 'Non- EU Country Approval' of the establishment.

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Import of Meat from Non-EU Countries

Imports of meat from third countries occur through a Border Control Post (Northern Ireland Points of Entry). More information can be found at the webpage [Points of Entry \(PoE\) | Department of Agriculture, Environment and Rural Affairs](#) and by contacting daeratradeimports@daera-ni.gov.uk

2.4.1 Export of meat not in compliance with EU requirements

In some circumstances, a bilateral agreement may be reached with the competent authorities of the importing country regarding food that does not comply with EU requirements. These agreements are negotiated by the Central Competent Authority for trade, DEFRA.

In these circumstances, (except in the case where foods are injurious to health or feeds are unsafe), food can only be exported if the competent authorities of the country of destination have expressly agreed to accept the food. In each case, the importing country must have been fully informed, by DEFRA, of the reasons for which and the circumstances in which the food concerned could not be placed on the market in the EU, Northern Ireland or Great Britain and acceptance of these conditions indicated.

Regulation: 178/2002 Article 12

2.4.2 Exceptions and restrictions on non-EU country trade

2.4.2.1. Specified Risk Material

Meat containing Specified Risk Material (SRM) cannot be exported to a non-EU country.

This includes heads and fresh meat of bovine, ovine or caprine animals containing SRM. Regulation: TSE Regulations (NI) 2010, Schedule 8, point 1.

Some countries, such as Japan, Canada and USA, have a definition of SRM that goes beyond domestic requirements. Japan, Canada and USA require removal all lingual tonsil regardless of whether cattle are Negligible Risk (NR) or Controlled Risk (CR) for BSE by making a transverse cut at the level of the last vallate papillae. See 2.5.4 Bovine tongues and **Annex 1 of Manual for Official Controls NI: Chapter 2.7 Specified Risk Material.**

SRM definitions/requirements that go beyond domestic requirements will be detailed in the relevant export health certificate (EHC) and/ or notes for guidance (NFG). See section **4.4 Issuance of Certificates** for how to access export certificates and NFGs

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2.4.2.2. Audit Category of slaughter and processing sites

To demonstrate compliance with EU requirements veterinary certification will only be provided for meat originating from premises which have a current EU compliance audit category of either 'good' or 'generally satisfactory'. The audit status on the date of certification applies.

Some countries, such as the Republic of South Africa, Saudi Arabia, Taiwan, and Canada, require premises only to be formally listed on the website of the competent authority in those countries before exports can commence. These countries accept EU equivalence and do not require site-specific approval.

However, to demonstrate compliance with EU requirements, all premises seeking export to Third Countries last audit outcome must be either 'Good' or 'Generally Satisfactory'. Official Veterinarians (OVs) are not expected to establish a retrospective audit category relevant to historical slaughter and production dates.

The FSA website can be consulted for the most up to date audit categories. A list of the current audit outcomes is available at the following link under Audit of Meat establishments, publication of audit reports: <https://www.food.gov.uk/business-industry/meat/audit>

See section **6. Enforcement** for information on when certification may be withdrawn and enforcing EU compliance.

4.4 Approvals

2.5.1 Site Specific Premises Approval

It is the exporter's responsibility to obtain any site-specific approval required for non-EU countries before export takes place. This approval may be carried out by officials from the non-EU country, e.g., China, Mexico or by the VPHP Trade and Audit DVO/OVA, e.g., US, Japan, RoK, as specified by each country. In Northern Ireland, DAERA is responsible for the issue and maintenance of non-EU country approvals in liaison with DEFRA. FBOs are directed to register their interest in specific approvals through DAERA Trade Exports team at the following email address: vs.implementation@daera-ni.gov.uk

Details of the process to be followed will be sent to the FBO and the relevant OV will be copied into the e-mail.

The following countries require establishments to obtain specific premises approval prior to export:

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Third Country Premises Approval		
Pork	Beef	Poultry
United States	United States	Eurasian Economic Union
Japan	Japan	Republic of Korea
Republic of Korea	Singapore	
China	Hong Kong	
Australia		
Mexico		
Hong Kong		

Some countries require approval of all sites in the food chain, including cold stores, whereas others require approval of the slaughter/cutting sites only. Canada, Saudi Arabia, South Africa, Taiwan, and Thailand require premises only to be formally listed on the website of the competent authority. These countries do not require site-specific approval.

The country overview tab of the Trade Team Grid summaries the requirements by country and commodity and indicates where SOPs and/ RMOPs are required. The Trade Team Grid is a Trade Programme document for internal use only and DAERA staff can access it here: <Record AE1/25/2497067: Trade Team Grid>

In every case, export certificate specific Notes for Guidance (NFG) should be consulted before certification is issued. See section **4.4 Issuance of Certificates** for how to access export certificates and NFGs.

2.5.2 Maintenance of Approval – Verification Checks and Audit

The official veterinarian and meat inspection teams (OVMITs) in premises exporting to non-EU countries must complete checklists to verify ongoing compliance with the non-EU country requirements on the days/weeks that production for export to non-EU countries is taking place.

See Annex 1 Table 5: Overview of the SOPs, RMOPs, and verification forms required for commonly exported to non-EU Countries

FBOs must advise the resident OV if they have ceased actively exporting to a particular non-EU country. If an FBO has ceased exporting to a non-EU country and wishes to resume, the FBO must liaise with the resident OV. OVs may require

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up to 4 weeks' notice to ensure all necessary non-EU country checks are in place to facilitate certification.

Non-EU Trade Export Verification Forms are found in DAERA Containers AE2-20-2407~2 & AE2-20-2407~3

Links to Trade Verification Forms 1 to 11 and standalone Cold Store Checklist are available to DAERA staff here:

[Form 1 HACCP Routine Verf – Monitoring and Verification 3C Exports](#)

[Form 1A CCP1 Routine Verf – Monitoring and Verification 3C Exports](#)

[Form 2 HACCP Routine Verf – Corrective Action 3C Exports](#)

[Form 3 HACCP Routine Verf – Procedure Reassessment 3C Exports](#)

[Form 4 HACCP Routine Verf – Record Keeping 3C Exports](#)

[Form 5 Random Re-Inspection Checks Exports](#)

[Form 6A Pork – HACCP System – Micro verification – Monthly 3C Exports](#)

[Form 6B Beef – HACCP System – Monthly Verification Checklist – FBO Microbiological Testing](#)

[Form 7 Daily SSOP checks 3C Exports](#)

[Form 8 Daily Pre-Operational FBO SSOP checks 3C Exports](#)

[Form 9 HACCP Directed Verification Checklist 3C Exports](#)

[Form 10A Pork and Poultry Checklist Daily. Weekly](#)

[Form 10B Beef and Lamb checklist Daily. Weekly](#)

[Form 11A Pork and Poultry checklist Mthly.Qtrly.Annual](#)

[Form 11B Beef and lamb checklist Mthly.Qtrly.Annual](#)

[Third Country checklist Cold Store WEEKLY CHECKS](#)

[Third Country checklist Cold Store MONTHLY CHECKS](#)

An overview of the key points for each verification form and the frequency of completion can be found at **Annex 1**.

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Form 10 and 11 daily/weekly and monthly/quarterly verification documents are stored electronically in a container in Content Manager (CM – DAERA’s internal record management system) created specifically for trade verifications – **Third Country Trade: Assessment of FBO Export SOPs and TC Trade Verification Forms 1- 11.**

2.5.3 Trade audits

In addition to site-specific approval, certain premises must be audited against the non-EU country requirements; frequency as follows:

Audit frequency		
Monthly	Quarterly	Yearly
US first 3 months	China	Australia
	US after first 3 audits	Japan
	Eurasian Economic Union	Singapore
		South Korea
		Mexico

- Non-EU country trade audits are carried out to support maintenance of premises approval.
- Monthly US audits initially after approval; these are decreased to four audits per year if the audit findings are satisfactory.
- Audit frequencies must be maintained for the establishment to maintain approval regardless of commercial activity. The exception to this is for US where, if there is no activity, the premises will not be audited for US requirements and if this continues the premises will be delisted for inactivity.

The length of the audit will depend on the type of establishment, e.g., audits in slaughterhouses with a co-located cutting plant are usually carried out over two days while a stand-alone slaughter or cutting plant or a cold store may be done in one day.

Trade audits include EU and trade specific requirements and is completed as per audit template accessible to DAERA staff here: [Non-EU country audit report](#)

Non-EU/Trade audits include:

1. A site inspection and audit of FBO records and documentation
2. Verification of DAERA official controls in relation to export requirements

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Each audit covers the Summary section EU compliance sections 1-7, the country specific section for each country being audit and the section Verification of Competent Authority compliance with non- EU export requirements.

- Ideally, the OV and/or SMI attend the audit closing meeting, where deficiencies identified during the audit are discussed with the FBO.
- The auditor submits the audit report to FBO, OV, and Regional DVO, with a target date of ten working days from the audit being completed.
- The audit report contains a Corrective Action Report (CAR) listing the deficiencies identified.
- The FBO must complete the CAR and submit it to the site OV and the auditor within ten working days of receiving the report.
- The CAR must address the following for each deficiency:
 - Immediate action taken to resolve the issue, including if applicable, adequate disposition of any contaminated product.
 - Root cause of the deficiency
 - Corrective action: measures taken to address the root cause, including monitoring and verification procedures put in place to ensure that those measures are effective
 - Preventative action
 - Where deficiencies cannot be corrected immediately:
 - Planned long term corrective action
 - Control measures and monitoring procedures in place to deal with hazards introduced in the meantime
 - Time scales for long term corrective actions

The site OV/MIT are responsible for verifying the corrective actions taken by the FBO. Actions taken must adequately rectify the deficiency. Actions planned must be implemented in a timely manner. The OV/MIT must complete the 'CA verification' column in the CAR and submit it to the auditor.

Approval and audit documents for each premises will be stored in CM container named **Third Country Audit, Approval and Appraisal**.

An instruction for veterinary auditors carrying out trade audits is accessible here: [Record AE1/26/363293: VPHP Trade Audit Staff Instruction](#)

2.5.4 Listing of establishments

Some countries such as the Republic of South Africa, Hong Kong, and Canada require premises only to be formally listed on the non-EU country website before exports can commence. The details of these establishments are forwarded to the non-EU country without an on-site approval process being carried out or requirement for trade audits.

It is essential in all cases where premises are listed by non-EU countries, any change to FBO trading name and details are notified through DAERA Trade

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Branch vs.implementation@daera-ni.gov.uk to the non-EU country to avoid rejection of consignments on arrival.

The requirement for a premises to be listed on a non-EU country website will be detailed in the associated Notes for Guidance for that country and should be consulted in all cases prior to export.

4.4.5 Approval / listed status of FBOs

Some exports to non- EU countries do not require FBOs to be approved or listed. In all cases consult the NFG of the relevant EHC to find up to date information on the approval/listed status of any FBO. Contact vs.implementation@daera-ni.gov.uk with any queries.

2.5.6 Labelling of Animal By-Product containers in export approved premises.

For non-EU countries where specific premises approval is required, the FBO should be advised that animal by-product (ABP) containers must be permanently identified, and used for the exclusive use of harvesting, storing, or transporting ABP.

Labelling must include the category of animal by-product (ABP) as the containers must be permanently labelled with the category they are destined for. This is not only to guarantee that they are not used for fit meat, but also to guarantee that they are used exclusively for the category they are intended.

In relation to the material used for labelling there is no specific requirement so long as the wording is legible from a distance.

2.6 Inward Inspections from Non-EU Countries

Occasionally non-EU countries visit the UK to conduct inward missions to assess the controls in place. These fall into the following categories:

1. Systems audit

This involves assessment of UK wide national controls in place for meat hygiene, animal health, disease control, welfare, animal by-products, TSE, import controls, etc. It involves an in-depth assessment of the competent authority, structures, controls, legislation, and implementation of same. It may include visits to competent authority offices, farms, laboratories, portal

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inspection posts, as well as approved meat establishments. The choice of establishments to be inspected may be pre-selected by the visiting inspection team rather than the Competent Authority.

A successful outcome will result in the competent authority being granted permission to approve establishments for export to that third country. In NI DAERA carries out these approval visits on behalf of DEFRA. E.g., Singapore, US, Australia.

2. Individual Foreign Meat Establishment audit

This involves some/all the above, but the meat establishments visited will be based on those wishing to obtain approval to export to that non-EU country. A successful outcome will result in only those establishments inspected by the third country being approved by the third country, e.g., Mexico.

3. Study Visit

This occurs when the UK is seeking to access a new market and the third country requires to conduct a study tour to focus in detail on certain aspects of the UK control systems, e.g., study tours conducted by China and Japan. No approvals given at this stage.

Core Script

In preparation for an inward inspection by a team of non-EU country auditors, DEFRA has issued a Core Script advisory document to assist both FBOs and competent authority officials in establishments that will be visited. OV's should consult this document and make it available to the FBO when first advised of a potential inward inspection.

The core script is available to DAERA staff here:

[Record AE1/19/529215: Updated Core Script for Plants Establishments for Export of Meat to TC 6/6/19](#)

2.7 Country specific export requirement training

Country specific export requirement training is being developed in cooperation with FSA meat export colleagues in GB. Where training modules are available OV's and MIs working in premises approved to export to these countries must complete the training. These training modules are hosted on the Moodle platform and will be uploaded as they become available.

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3. Standard Operating Procedures

3.1 FBO responsibility

3.2 OV responsibility

3.3 Required Method of Operation (RMOP)

3.4 Key Task Guides

3.1 FBO responsibility

3.1.1 Introduction

Within the Trade Exports container on CM there are folders for general correspondence and compliance information for non-EU countries which have particular trade requirements for products to be exported.

The CM Trade Exports container can be accessed at AE11/001/008/146 and this is where the most up to date compliance information and general correspondence for each country listed therein can be found.

To meet export certification requirements for a non-EU country, a trade export standard operating procedure (SOP) must be developed and implemented when there are specific requirements over and above those which are required for EU compliance.

A trade export SOP is essential where specific approval is required e.g., Japan, China, and Singapore. It is also required where there is transfer of meat to other sites prior to final export, and for which movement certification of each consignment transferred between sites is not provided, e.g., Hong Kong, Canada. Export eligibility is conferred to product that is compliant with the SOP.

NB: At all times it is the responsibility of the FBO to demonstrate to the certifying officer how the requirements of an export health certificate are met. This is best achieved through written standard operating procedures in place, as with all other aspects of Food Safety Management systems.

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An SOP, agreed with the OV, will help to ensure that the FBO has adequate procedures and checks in place before production commences, especially regarding procurement of animals / meat / origin / residency, etc.

All SOPs should be reviewed when there is a change to FBO processes / nature of exports and at least annually as a minimum.

3.1.2 SOP Content

The SOP must outline the additional export requirements and how they will be met. For example, origin of animals, residency periods, vaccination status, etc. The additional requirements will be established by the FBO referring to the relevant EHC and NFG. See section 4.4.1 for link to access these.

The SOP must specify that relevant staff will be trained in the requirements of the SOP and any relevant work instructions before export commences.

Where certification direct to a non-EU country, or movement certification within the UK (Internal Movement Certificates (IMCs) or background certificate BC(NI) 1304a) is required from a slaughter or cutting premises the certification process should be included in the FBO's trade export SOP. See **Section 4. Certification**.

3.1.3 FBO verification

The SOP must include a description of FBO verification of the procedures outlined, record keeping requirements, and the frequency of verification checks. This will assist in demonstrating ongoing compliance to the site OV and to enable the site OV to provide assurance to the final certifying officer (CO) at a cold store that the FBO systems for non-EU export are being implemented satisfactorily. All verification records must be made freely available to DAERA staff.

3.1.4 FBO updates to SOPs

SOPs (and RMOPs. See Section **3.3 Required Method of Operation RMOP**) must be updated by the FBO when third country export requirements change and the SOP/RMOP does not cover the new requirements. All SOPs and RMOPs should be reviewed when there is a change to an FBO process/ nature of exports and at least annually as a minimum.

In US approved premises where there are significant operational changes by the FBO an updated version of the US RMOP must be created, re-signed by the FBO, and the two DAERA verifications completed. A significant change may include, but is not limited to:

- iv. Addition of a processor-defined product not previously subject to export verification.

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- v. Alteration or inclusion of a process in a way that may create a hazard/risk not previously assessed at verification.

3.2 OV responsibility

3.2.1 SOP assessment

To assist the OV in assessing whether an FBO SOP is fit for purpose for export to the intended non-EU country, a generic template for SOP assessment and approval is provided here for DAERA staff:

[Record AE1/22/432244: VPHTP Generic Assessment of TC export FBO SOP June 2023](#)

OV completion of SOP assessment template is required when an FBO Trade export SOP is drawn up.

The OV should consult the specific requirements indicated in the relevant non-EU country EHC and associated Notes for Guidance (NFG) to assess whether the proposed SOP covers all specific export requirements. Particular attention should be paid to FBO systems for establishing eligibility and maintaining segregation and identification of eligible product from ineligible throughout the slaughter, production, storage, and transport processes.

A copy of the agreed FBO SOP **and** the completed SOP assessment should be stored in the CM container named **Third Country Trade: Assessment of FBO Export SOPs and TC Trade Verification Forms 1- 11**.

SOP assessment is also be carried out if the FBO makes changes to the SOP, if there are changes to the third country requirements intended to be covered by the SOP. An annual SOP assessment is required even in the case of no reported changes to the SOP.

3.2.2 SOP verification

Ongoing verification of FBO compliance with the export SOP is required to provide assurance of compliance with the additional third country requirements for certification. Verification of non-EU country requirements in slaughter and cutting premises will be through the completion of Trade Verification Forms 1-11, including the general requirements and country specific sections of Form 10A and Form 11A (pork and poultry) and Form 10B and Form 11B (beef and lamb). This requires regular OVMIT verification of FBO operations and records.

Completion of Form 10s meet OVMITs requirement to verify regularly FBO's export SOP without having to complete a separate SOP verification document.

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The standalone SOP verification document that was previously required is no longer required.

See section **2.5.2 Maintenance of Approval –Verification Checks and Audit** for where to access Form 10s and Form 11s.

3.2.3 VPHP staff training

Prior to commencement of production for export to a particular non-EU country the OV should update and familiarise the VPHP Meat Inspection team in the establishment of the details in the agreed FBO SOP. The OV should also brief the team in the use of the required export verification forms.

3.2.4 Communicating assurance of non-EU compliance to onward steps in export chain.

OVMIT complete the required Third Country verification forms relevant to the countries for which there is production for export. See **Annex 1, Table 4: Overview of the SOPs, RMOPs, and monitoring forms required for commonly exported to Third Countries.**

Third Country verification forms are stored in CM in a container created specifically for verification named **Third Country Trade: Assessment of FBO Export SOPs and TC Trade Verification Forms 1- 11.**

The certifying OV should access the Form 10 and Form 11 of the slaughter/cutting plant to assure themselves that the relevant Third Country SOP is in place and is being regularly verified by the establishment's MIT.

3.2.5 Non-Compliance with SOP / Non-EU requirements

Product not manufactured to the required standards for non-EU country trade is ineligible for export. Where a breach in compliance has been identified, which compromises certification of the product, the OV should advise the FBO verbally and in writing that veterinary certification will not be issued for this product. This may apply to both internal movement and final export certification.

Export production for the relevant third country must cease until the FBO has taken the appropriate corrective actions to address the non-compliance and export standards are reinstated to the satisfaction of the OV.

The OV in the production site should immediately notify the OV / VPHP Post in any receiving establishments where further certification is issued, indicating affected kill dates etc., which are not eligible for export.

Copies of such communication should be shared with all relevant staff and saved to container named **Third Country Trade: Assessment of FBO Export SOPs and TC Trade Verification Forms 1- 11**

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3.3 Required Method of Operation RMOP

These documents are sometimes required for certain countries such as US, and Canada (meat for grinding) and Australia (to 'through chain' certification of ROI pigs for Australia), where specific operational conditions within the establishment must be met. They are a formal version of an SOP, and approval to operate to a specific non-EU Country standard will not be issued until these are in place.

Due to the more formal nature of these documents, they are signed by the FBO and require two verifications: site OV and Regional DVO/Trade Veterinary Advisor /Trade Programme DVO. A copy must be stored in the CM container named **Third Country Audit, Approval and Appraisal**.

SOPs and RMOPs

3.4 Key task guides

As outlined in **3.1.3 Key tasks guides of NI MOC Chapter 1 'Introduction' Introduction Chapter** each slaughterhouse resident OV must maintain up to date key task guides to act as aide memoires for visitors of the official controls required at that establishment. Key task guides must include the trade verification checks to be carried out, and where duties are delegated to a suitably trained MI this must be included too.

Where additional PMI arrangements are required, such as for US approved premises, these must be documented for MIs carrying out postmortem inspection and can be included in the key task guide or included in MI postmortem inspection instructions unique to each premises.

In slaughterhouses with co-located cutting plants and cold stores, all important information for any visiting OV/certifying officer should be included. It is advisable to also include key FBO/exporter contact information.

Key task guides are also required to be drawn up and maintained by the resident certifying officers in standalone coldstores.

The key task guide should summarise what the certifying officer / OV must do on a daily, and less frequent basis and should include any agreements on procedures between the certifying officer / OV and FBO.

The key tasks guide should be clear and easy to follow so that another certifying officer / OV, who may not be familiar with the establishment could, if they followed the guide, complete all the necessary official controls and trade verifications in

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that establishment. The key task guide must be stored in the Records NI CM system in the Key Tasks Guide container for that premises and must be reviewed at least annually. However, it should be updated when changes to processes or procedures occur, for example, when new or revised staff instructions are issued, relevant guidance notes issued, or relevant EHCs or NFG updated.

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4. Certification

- 4.1 Certifying Officer Authorisation
- 4.2 Basic Principles of certification
- 4.3 Support documentation
- 4.4 Issuance of Certificates

4.1 Certifying Officer Authorisation

Export certification of meat and meat products is a DAERA trade function performed by OVs directly employed by DAERA or employed via a Service Delivery Partner, who are authorised by DAERA as Certifying Officers (COs).

Information on the CO authorisation process within DAERA is accessible to DAERA staff here: [Authorisation Process for a Certifying Officer | NICS Intranet \(nigov.net\)](#) and includes the certifying officer Training Log, VPHP steps to authorisation and guidance on:

- The role of a Certifying Officer
- How to become authorised as a Certifying Officer
- The forms needed to complete in the authorisation process
- Links to staff instruction and guidance documents relating to certification.

4.1.1 General Non-EU Country Exports

FBO should always provide the certifying officer with a list identifying the relevant product. This can be through commercial document (CD) serial numbers / kill dates / production dates (as required and agreed by the CO) relevant to product transferred for further processing / export and uploaded to **DAERA Export Certificate System (DECS)**. Accessible here: [Apply for Export Health Certificate - DAERA Exports DAERA Exports](#). Further information on DECS is available in section 4.4 Issuance of Certificates.

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4.1.2 Exports to China

Please note that only certifying officers individually pre-authorised by DAERA and notified to DEFRA and China can complete final export certification to China. Individuals who are unsure of their status should contact Trade Programme at vs.implementation@daera-ni.gov.uk to confirm whether they are authorised to complete export certification to China. Please note that this applies only to final certification from the cold store and not to internal movement certification between sites in UK/NI of pork destined for final export. The latter can be completed by certifying officers with the appropriate local training, but who are not necessarily authorised to complete final certification to China.

4.1.3 DAERA and personal stamps

All OV's and VO's authorised to provide meat export certification will be personally issued with 2 round 'personal stamps'. It is the responsibility of the individual officer to ensure the safe keeping of these stamps at all times. These 'personal stamps' must only be applied to official documents, i.e., EHCs / IMCs/ background certificates (BCs) / SHAs only and should not be used on unofficial documentation such as FBO paperwork.

A veterinarian who acts in an official capacity must only use an official stamp issued to them on official certificates issued or approved by the Competent Authority. This includes both personal stamps and DAERA stamps. Neither personal stamps nor DAERA stamps should be put on any "certificate" with an FBO header.

<https://www.daera-ni.gov.uk/publications/background-certificates-and-guidance-support-onward-trade-gb-eu-third-countries> If required, DAERA headed notepaper is accessible to DAERA staff here: [Graphics Templates | NICS Intranet \(nigov.net\)](#)
See also section **4.4.8 DAERA Letter of Clarification**.

4.2 Basic principles of certification

The basic principles of certification are laid down in Regulation (EU) 2017/625 and the Code of Professional Conduct for Veterinary Surgeons published by the Royal College of Veterinary Surgeons. The Ten Principles of Certification require that veterinarians should only certify matters within his or her knowledge and that can be verified. The Ten Principles and additional RCVS guidance can be found at the following link:

<https://www.rcvs.org.uk/setting-standards/advice-and-guidance/code-of-professional-conduct-for-veterinary-surgeons/supporting-guidance/certification/>

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4.3 Support documentation

4.3.1 Notes for Guidance

The requirement for additional support documentation will be determined by the content of both the export health certificate, Section IV Health Information and the associated Notes for Guidance (NFGs). These should be the starting point to determine exactly what support documentation is needed. Both must be consulted in detail to determine what level of assurance will be necessary. See para 4.4.1 for details on access to these documents.

It is the exporter's responsibility to provide whatever assistance is necessary to obtain any support certificates required.

4.3.2 Internal Movement Certificates (IMCs) and Background Certificates (BCs)

Guidance on the different types of certificate that are available to facilitate trade of products of animal origin to Non-EU Countries and support onward export from NI/GB/EU to Non-EU Countries (Export Health Certificate/ Internal Movement Certificate/ Background Certificate/ Support Health Attestation) is available to DAERA staff here: [Trade Export Guidance- Certificate Types \(Export Health Certificate/ Internal Movement Certificate/ Background Certificate/ Support Health Attestation\) | NICS Intranet](#)

Previously the term Internal Movement Certificate was used to describe both IMCs formally agreed with a third country and the locally used DAERA EC(NI) 1304a. However, it is no longer correct to use the term 'internal movement certificate' for the EC(NI) 1304a. The EC(NI) 1304a is not agreed with a third country and so it is a Background Certificate (BC).

Background Certificates, and all other certification not formally 'agreed' or 'cleared' by a non-EU country, are issued as 'support' certification to allow onward certification/ export, but they are not required to gain entry to the first receiving country (i.e. NI/GB/EU). This includes Support Health Attestations (SHAs) that are provided for product leaving NI, moving to GB where it will be onward certified to the EU/NI. SHAs are EU exit specific for NI to GB to EU/NI trade and this term has been retained as a 'special' category of background certificates.

NOTE: Background certificates issued by OV's in GB for movements within GB or GB to NI are also referred to as 'Support Health Attestations (SHAs)'.

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As per the non-EU country export requirement laid out in the relevant export certificate or NFG, certifying officers in NI may be required to issue **an IMC specific to the country to which the product is being exported or a background certificate**. In all instances consult the relevant notes for guidance (NFG).

When the final export certification takes place at the end of a chain of establishments, certain third countries e.g. China, and Australia require official Internal Movement Certificates to be issued for each movement of certain meat commodities.

4.3.2.1 Certificate BC(NI)1304a

BC(NI)1304a is a background certificate used within Northern Ireland only to facilitate movement of animal products within NI, where the receiving business requires per consignment assurance of matters over and above EU compliance to allow onward certification from NI to a final third country destination. E.g. movement of US product (beef and pork), and Japan pork (see Japan NFG re specific use).

BC(NI) 1304a is accessible on the DAERA intranet only for DAERA staff use and can be accessed here [BC\(NI\)1304a](#)

It is used primarily to cover multiple movements per day from slaughter/cutting premises to a cold store within NI. Issue of BC(NI) 1304a is managed locally by the resident OV, the exporter does **not** apply on DECS (hence it is not available externally).

For further information on UK internal movements and ROI/EU see section 4.4 Issuance of Certificates.

4.3.2.2. Background Certificate 8796

Background Certificate 8796 is available for use to facilitate movement of animal products from NI to GB or EU, including Ireland (IE), where the receiving business requires assurance of matters over and above EU compliance to allow onward certification from GB / EU to a final third country destination.

Scope of Background Certificate 8796

Background Certificate 8796 can be used for all products of animal origin (POAO), as required, including meat, dairy, fish, and animal by products such as bile. It is issued alongside a commercial document to provide additional information to another certifying officer. It is not an 'entry' certificate but provides support for final certification.

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Background Certificate 8796 must now be used **in lieu of** the following certificates which are no longer available for use and are now superseded:

- Former external EHC 1304a Internal Movement Certificate for movement of meat from NI to GB / IE / EU.
- This includes use of BC 8796 for periodic internal movement certification of pork meat for onward export to Japan using EHC 1292 Pig Meat, Viscera and Sausages to Japan.

(Please note that the 'Internal' version of 1304a, available for download from the intranet, will continue to be used for movements between premises within NI and is unaffected. See section **4.3.2.1 Certificate BC(NI) 1304a**

- EHC (NI) 0002 Movement of Meat from NI to Ireland for onward export to Hong Kong, Singapore and United Arab Emirates.

Please note:

The use of **Support Health Attestations (SHA)** for movement of POAO from NI to GB for onward export from GB to EU/NI **remains unaffected**.

ADDITIONAL INFORMATION

Exporters **must** apply for Background Certificate 8796 **via DECS** to facilitate these product movements going forward.

A copy of the **Background Certificate 8796** and associated **Notes for Guidance** can be found at the DAERA website location accessible here:

[Background Certificates and Guidance to support onward trade via GB / EU to Third Countries | Department of Agriculture, Environment and Rural Affairs \(daera-ni.gov.uk\)](https://www.daera-ni.gov.uk/Background-Certificates-and-Guidance-to-support-onward-trade-via-GB-EU-to-Third-Countries)

4.3.2.3 Lines to take for staff receiving requests from Food Business Operators and Exporters for additional declarations regarding Product of Animal Origin they seek to export.

Staff may receive requests to provide 'official' statements signed by a government official to accompany POAO FBOs intend to export to a non-EU country. Staff should adopt the following approach:

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1. Where there is already an agreed Export health Certificate available for the commodity being exported, then staff should advise that all the official requirements of the importing third country are specified in the EHC and that it will meet the requirements for import to that third country. No additional attestations are required and will not be provided. For example, an exporter might request a statement to attest that the POAO is derived from animals subject to ante and post-mortem inspection. Such information is usually implicit in the wording of Section IV of the EHC and is conferred automatically by the presence of a health or identification mark on the POAO. No additional attestation is required. If an exporter requests a declaration of origin of the POAO, then this will already be included in the agreed EHC if required by the importing country. An additional attestation is not required.
- vi. Where an exporter claims that an additional attestation, over and above that which is contained within the agreed EHC, is required by the importing authority, then staff should advise the exporter that evidence of this additional requirement should be obtained in writing from the competent authority of the importing third country. Exporters should be instructed to liaise with their prospective importers in the non-EU country to obtain such evidence.
2. Where an agreed EHC is not available for the export of a specific commodity to a specific third country destination, exporters should be advised to liaise with their prospective importer. As at 2) above, to obtain details in writing from the import authority of the third country of the specific sanitary and phytosanitary conditions which must be met for that commodity. Once these have been obtained, the exporter should contact DAERA VS Implementation vs.implementation@daera-ni.gov.uk
 3. In certain circumstances where additional assurance from a production site OV is required to allow final certification from a cold store, then a BC(NI)1304a background certificate should be used to provide this assurance (for internal NI moves this does not have to be issued via DECS). Where these assurances are needed on a regular basis then a local agreement, which is documented as part of the production site trade export SOP, can be implemented. Any attestation issued should comply with the RCVS principles of certification and should clearly state the purpose, for example, 'For the export of X meat to Y TC' to avoid unnecessary continuation of issue when such exports are not taking place. The content of all such attestations should be based on the requirement of the final export health certificate, as determined by the certifying officer and not the exporter/ FBO/ importer. Where this relates to cross border movement to and from ROI, Trade Programme should be informed via vs.implementation@daera-ni.gov.uk.

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4.3.3 Communication of verification checks in slaughter/cutting premises to the certifying officer.

For some non-EU countries such as Japan, Canada, Hong Kong, Philippines, South Africa and Singapore, depending on the commodity, additional support for final certification may be needed but can be provided in a format other than an IMC/BC. As described in **Section 3.2.4**, there is regular verification of FBO site SOPs through completion of Form 10s and Form 11s and, as detailed in **Section 3.2.5**, there is exception reporting of any non-compliance that would affect export eligibility.

OVMIT verification checks in slaughter and cutting premises within NI form support documentation for the final certifying OV. For this reason, it is essential that Form 10s / Form 11s are stored in the CM site specific Trade container, created specifically for verification named **Third Country Trade: Assessment of FBO Export SOPs and Forms 1- 11**.

See **Section 5. Pre-Export Consignment Checks**. Certifying officers are directed in the Pre-Export Data Checklist to check entries in Form 10A and Form 10B, as applicable, as per the document for DAERA staff accessible here: [Record AE1/26/483578: Non-EU/TC export eligibility for movements within UK](#)

If the certifying officer is not content, they can request further assurance, in addition to info supplied by FBO through DECS, from the exporter/slaughter plant/cutting plant OV.

4.3.4. Guidance documents for specific trade verification checks

4.3.4.1 USA and Mexico require pre-operational SSOPs to be implemented in approved premises.

Competent Authority pre-operational SSOP verification guidance for premises exporting to the USA and Mexico is available to DAERA staff here: [Record AE1/25/440616: Official Pre-operational Procedure US and Mexico](#)

4.3.4.2 Canada N60 verification checks and certification for export to Canada

- OV/MIT N60 verification checks are required as per 7833NFG.
- Within NI all information required by the certifying officer is uploaded to DECS. Where product has originated in GB the FBO must upload to DECS all SHAs relevant to the load for export. This applies to loads/lots of intact beef and precursor material (beef intended for grinding).

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- See **Canada precursor material intended for finished raw ground beef production (FRGBP) N60 sampling verification and guidance on Canada export certification guidance** document for DAERA staff is available here: [Record AE1/24/1743953: Canada STEC guidance](#)

4.3.4.3 The Role of On-Site Officials in N60 Sampling of beef for export to US

- Official N60 testing and verification of FBO N60 testing is required where beef is produced (cutting) for export to US.
- Arrangements are in place where background certificates BC(NI) 1304a are issued pending satisfactory N60 STEC results.
- Guidance document for DAERA staff, **The Role of On-Site Officials in N60 Sampling of beef for export to US**, can be accessed here: [Record AE1/25/441688: The Role of On-Site Officials in N60 Sampling of beef for export to US](#)

4.3.4.4 Spray Chilling in US approved premises

- Defra guidance for spray chilling for FBOs is accessible to DAERA staff here: [Record AE1/25/440976: Official guidance for the implementation of spray chilling in UK establishments](#)
- Spray chilling guidance on verification for OV's and MIs in US approved premises is accessible to DAERA staff here: [Record AE1/25/456250: FSCAs instructions for Authorised Officers regarding spray chilling](#)

4.3.4.5 Water retention requirements in Canada listed premises

- DAERA guidance to OV's on Canada water retention requirements in slaughter premises is accessible to DAERA staff here: [Record AE1/26/358065: Canada Water Retention Protocol/SOP verification guidance for OV's](#)

4.3.5 BC(NI)1304a and IMC release arrangements

4.3.5.1 BC(NI)1304a release pending satisfactory pre-shipment review for exports to US.

- When background certification is required, the BC(NI) 1304a must accompany the load to which it relates.
- If when a BC(NI) 1304a is issued, and a pre-shipment review is pending the details of the background certificate are recorded on the spreadsheet in CM container titled 'IMCs Pending Release'.

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- The FBO must put the product pending pre-shipment review on hold electronically so that it cannot be selected for export to USA until the BC(NI)1304a has been released. The OV/delegated MI verifies that this has been done.
- OV issuing, or delegated MI, selects the following in the spreadsheet:
 - 'On hold' when pre-shipment review is pending for a BC(NI)1304a.
 - 'Released' when satisfactory pre-shipment review is made available.
 - 'IMC withdrawn' if all product on the BC(NI)1304a is affected by an unsatisfactory pre-shipment review.
 - 'Ineligible lot/s in the consignment' if part of the consignment is affected by unsatisfactory pre-shipment review.
- Any relevant additional information can be added to the comments section.
- The certifying officer in the destination cold store has access to the 'IMCs Pending Release' spreadsheet and can see the status of each BC(NI) 1304a pending results and the status of any pre-shipment review.
- The certifying officer in the cold store checks the relevant 'IMCs Pending Release' spreadsheet prior to certifying any product for export to US.
- In the case of an unsatisfactory pre-shipment review the CO in the cold store verifies:
 1. That the cold store FBO has physically removed the affected lot from their US export eligible product storage area
 2. That they have seen FBO documentation, including FBO electronic controls, which verify that the affected lot is no longer eligible for export to US.
- This evidence is stored by the cold store OV by attaching it to the comments section of the relevant BC(NI) 1304a in the 'IMCs Pending Release' document, and /or including the CM document number of any additional information that is stored elsewhere in CM.

4.3.5.2 IMC release pending satisfactory trotter micro results for exports to China.

- An IMC is required for every China eligible load and must accompany the load to which it relates.
- In relation to trotters, when an IMC is issued and *Salmonella* results are pending, the details of the IMC are recorded on the spreadsheet in CM container titled 'IMCs Pending Release'.

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- The FBO must put the product pending results on hold electronically so that it cannot be selected for export to China until the IMC has been released. The OV/delegated MI verifies that this has been done.
- OV issuing, or delegated MI, selects the following on the spreadsheet:
 - 'On hold' when satisfactory trotter micro results are pending for an IMC.
 - 'Released' when satisfactory trotter micro results are made available or satisfactory corrective actions have been taken where unsatisfactory trotter micro results have been reported.
 - 'IMC withdrawn' if all product on the IMC is affected by unsatisfactory trotter micro results and unsatisfactory corrective actions.
 - 'Ineligible lot/s in the consignment' if part of the consignment is affected by unsatisfactory trotter micro results and unsatisfactory.
- Any relevant additional information can be added to the comments section.
- Certifying officers in the destination cold store have access to the 'IMCs Pending Release' spreadsheet and can see the status of each IMC pending results and their status.
- The certifying officer in the coldstore checks the relevant 'IMCs Pending Release' spreadsheet prior to certifying trotters for export to China.
- Where the status of an IMC is 'IMC withdrawn' or 'Ineligible lot/s in the consignment' the CO in the cold store the CO in the cold store verifies:
 1. That the cold store FBO has physically removed the affected lot from their US export eligible product storage area
 2. That they have seen FBO documentation, including FBO electronic controls, which verify that the affected lot is no longer eligible for export to China
- This evidence is stored by the cold store OV by attaching it to the comments section of the IMC in the 'IMCs Pending Release' document, and /or including the CM document number of any additional information that is stored elsewhere in CM.

4.3.6 National Disease Clearance (NDC)

Some certificates require the certifying officer to certify that the country or a region is free from certain animal diseases. Every certificate and notes for guidance should be checked by the CO to decide where disease clearance is required. Within the UK, DEFRA is the lead competent authority for export certification. DEFRA NFG require that prior to signing export health certificates, a National Disease Clearance (NDC) document is obtained either from APHA in GB or DAERA in NI. In GB, veterinary certification for meat and dairy exports is carried out by private veterinary practitioners. In NI, this certification is carried out by

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government vets employed by/contracted to DAERA. Therefore, in NI, while disease checks need to be completed, generation of an NDC is not required. For all certification on DECS the CO confirms in every case that disease clearance, if required, has been carried out.

The Staff Instruction which gives the authority and process for veterinarians carrying out meat and dairy certification in NI to do the same disease checks that would be done to produce an NDC is located here:

[Certification Notifiable Disease Status Checks | NICS Intranet](#)

All relevant information pertaining to the meat to be certified must be provided on application, e.g., country of origin. The exact requirement / relevant paragraphs relating to disease clearance, as per the wording of both the certificate and /or the Notes for Guidance should be referenced in the email application.

Daily National Disease Clearance email to Certifying Officers

Certifying officers are included in the Trade Programme circulation list and receive a disease status email daily containing the National Disease Clearance documents. The email includes the staff instruction on how to carry out disease checks, daily updated information on the status of notifiable diseases in Northern Ireland and GB, the link to RoI website for Notifiable Diseases, and the link to staff instructions for certifying officers carrying out disease clearance during High Pathogenic Avian Influenza outbreaks.

DAERA staff Instruction for HPAI disease clearance is accessible to DAERA staff here:

[Avian Influenza - Staff Instruction for Use During Outbreaks | NICS Intranet](#)

Prior to signing any EHC, Support Health Attestation (SHA), Internal Movement Certificate (IMC), or Background Certificate (BC) the certifying officer consults the most current daily issued National Disease Clearance documents.

Any certifying officer not in receipt of a daily NDC email from Trade Programme contacts vs.implementation@daera-ni.gov.uk to be included in the circulation list.

4.3.7 Additional support declarations

4.3.7.1 Exporter / Importer / FBO / Farmer

An OV may require additional written confirmation of matters which are not within their knowledge but are within the knowledge of others e.g., FBO, farmer, haulier. For example, processing details, non-addition of chemicals, vaccination status,

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residency periods, etc. These must be supported by the relevant documentation, from the appropriate person. Such declarations should identify that to which it pertains, so that it can be cross referenced to a consignment for export, e.g., identification of a batch of animals presented for slaughter on a specific date.

4.3.7.2 Disease Status of Animals, Farms

Matters relating to disease status of animals, poultry, farms, regions, and slaughter establishments can only be provided by members of the veterinary profession, and not by the FBO/exporter, notwithstanding farmer declarations provided for animals under their direct care. Matters relating to farms and animals can be provided by Private Veterinary Practitioners (PVPs). Matters relating to country, region, or e.g., the specific area in which a slaughterhouse is located can only be provided by the Competent Authority. In the case of NI, this is DAERA, in the case of GB, DEFRA, and in the case of ROI, Department of Agriculture, Food and the Marine (DAFM). See 4.3.6 above.

NFG may require OV's to refer to Intra Trade Animal Health Certificates for animals from Member States (ITAHCs). Copies should be available and stored as evidence of support documentation.

4.3.8 Certification from different establishments

DAERA certifying officers may be asked to provide certification of meat and meat products in establishments:

- i. With permanent VPHP presence
- ii. With VPHP audit at the risk-based frequency, e.g., cutting establishments.
- iii. Supervised by the District Council Environmental Health Officer (EHO) e.g. a standalone cold store.

It is clear there will be differences in the amount of investigation that the CO will need to do to satisfy the requirement of matters within their knowledge that can be verified.

In premises supervised by the District Council EHO the CO may require evidence from the EHO that the establishment meets the requirements of the EU Regulations and any additional non-EU country requirements. This may require a combined EHO/CO site visit to establish that the requirements for export can be met. As before, site specific SOPs may need to be implemented and ongoing verification of these is carried out to support final certification.

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4.4 Issuance of Certificates

4.4.1 Introduction

There are individual certificates for different third country destinations and for various products to those countries. All certificates have bespoke Notes for Guidance (NFG) linked to the export health certificate (EHC). All EHCs and the relevant NFG, and third country specific internal movement certificates (IMCs) can be found on DEFRA website at this link:

[Find an export health certificate - GOV.UK](#)

All export health certificates must be applied for by the exporter online using the **DAERA Export Certification System (DECS)**. Accessible here: [Meat and meat product exports | Department of Agriculture, Environment and Rural Affairs](#)

Guidance for exporters on using DECS is available in the exporter's instructions here: [Instructions for using the DAERA Export Certification System \(DECS\)](#)

All instructions on how to use the system are given for DAERA staff here: [DECS staff instructions | NICS Intranet](#)

Specific guidance on Canada Supplementary Certificate EHC7833 SUP

For exports of beef from Northern Ireland to Canada for onward export to the United States of America using EHC 7833, exporters will be required to also submit Supplementary Certificate EHC7833 SUP.

Specific guidance for exporters on how to submit both the EHC7833 and SUP can be found below:

[Export of fresh beef to Canada for onward export to the United States of America](#)

Notice to Customer Support Branch (CSB) Staff on processing of EHC 7833: fresh beef to Canada where 7833SUP is required is available to DAERA staff here:

[Customer Support Branch \(CSB\)](#)

The exporter must ensure that all applications for certificates on DECS are made in adequate time to allow certificates and any support documentation necessary for their completion to be available in advance of the export. DECS instructions state that applications should be made at least two working days in advance of the date of loading. This is the date of loading of the consignment at the premises of dispatch. Veterinary certificates cannot be issued retrospectively and must be requested prior to loading.

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Export of untreated stomachs, bladders and intestines

Untreated stomachs, bladders and intestines can be exported for further handling destined for human consumption (e.g. of certain commodities to Japan, Mexico), provided these are cleaned and fully emptied of digestive tract content. It is advised that these products are exported with clear information in the labelling, for example: “untreated stomachs, for further processing”. For further information on processing see the **MOC Chapter 2.12 – Edible co-products**.

OVs and certifying officers should ensure that they have read the Health Information section of the relevant Export Health Certificate, as well as the Notes for Guidance to ensure that there is nothing which contradicts this as for some countries some of these products are specifically ineligible for export. If further clarification is required, certifiers should contact DAERATradeExports@daera-ni.gov.uk.”

Export Health Certificate Security features

All EHCs used to be issued on Crown Vellum watermarked security paper. DEFRA and DAERA have implemented a digital solution to remove the Crown Vellum watermarked security paper across all countries and replace it with plain white paper with improved digital security measures. The digital anti-fraud security features include a 12-digit unique code applied to page 1 of the EHC and a ‘dithered watermark’ applied to all pages, visible when the EHC is printed on white paper.

The most up to date guidance on the use of Crown Vellum paper and white paper with the improved security features is found here: [Northern Ireland to third country exports information | Department of Agriculture, Environment and Rural Affairs \(daera-ni.gov.uk\)](#)

Editing and Printing Export Health Certificates from DECS

Certifying Officers using laptops instead of desktop computers may find that the version of Adobe they use will not allow them edit EHCs or use the ‘add text function’. If this is the case, contact line management as a service request may be required to update the version of Adobe.

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When printing EHCs certifying officers may find, when the EHC is ready to be printed, if it is saved as a PDF to their desktop screen location and print in colour, from the desktop screen location, the dithered watermarks are better seen.

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- **UK internal movements**

Issuance of the background certificate BC(NI)1304A or non-EU country specific IMC, for the movement of meat products from one approved establishment to another within UK, i.e., within NI and to GB, continues under the current method, i.e., not on DECS.

Certifying officers **assign a serial number to the BC(NI)1304a from their local numbering system**, specific to that establishment. Typical naming conventions for such certificates could include an abbreviation to identify the site; date of issue; initials of certifying vet, i.e., FBO120117OV.

For more information see section 4.3.2 Internal movement certificates (IMCs) and Background Certificates (BCs)

- **ROI /EU movements**

Where required for ROI/EU movements, unless a specific third country IMC is required (in each case consult the relevant NFG), a BC 8796 is issued, **but the exporter must apply through DECS**. This certification will be assigned an official serial number via DECS.

Non-EU country specific IMCs can be accessed via DEFRA website, and the link is in the introduction to this section **4.4 Issuance of Certificates**.

4.4.2 Certificate serial number

All export health certificates must have a unique serial number. This number is automatically issued by the DECS system.

4.4.3 Security of certificates

All certificates and water marked paper, if used for printing certificates, should be kept securely under the control of the DAERA team. Most certificates are now printed on plain white paper with a dithered watermark and additional security features, but if Crown watermark paper is required, it is the responsibility of the DAERA team to print out the certificate using the watermarked paper.

For full details on what Third Countries permit the use of white paper, please view the ***Crown Gold Paper Removal- Participating Third Countries and other guidance*** document which can be found at the below link:

www.daera-ni.gov.uk/publications/northern-ireland-third-country-exports-information

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Large numbers of certificates should not be printed off at any one time for security reasons, and to prevent the use or retention of outdated pre-printed certificates. It is the responsibility of the certifying officer to ensure that the certificate that they are using is the current version.

4.4.4 Completion of certificates

Guidance notes are provided for the completion of certificates. Certifying vets must take account of and adhere to these instructions. Certificates must be completed in full; no blank spaces should be left, use 'Not Applicable' and 'Not Given' where appropriate. Where there are more than two pages to the certificate, it should be issued in A3 format, where possible.

NB: All certificates must be signed and stamped in a colour other than black ink. Some third countries are specific about the colour used, where to stamp, where not to stamp, and will not accept EHCs where stamps and signatures obscure the text of the certificate. In all cases, consult the NFG for the details as not every third country has the same requirements.

The personal stamp, issued to individual certifying officers (COs), should always be used. Additional stamps may be requested by non-EU countries. An office address stamp, specific to the issuing office/site may be used if desired. Some non-EU countries require the official stamp to overlap the signature. Where this is required, it will be stated in the notes for guidance for that EHC.

Where relevant, all test results and relevant supporting documentation must be uploaded to DECS by the exporter prior to certifying officer signing the completed export health certificate.

'Date of loading' is the date the product is loaded into containers at the premises of dispatch from Northern Ireland and the load sealed. See section 4.4.4 on sealing of export loads.

'Date of departure' is accepted as the date the load being exported departs Northern Ireland. EHCs can be signed before or on the date of departure but it is not acceptable for EHCs to be signed after the date of departure.

Prior to final signature, Certifying Officers must request any further supporting documentation, as is necessary for them to satisfactorily complete the Export Health Certificate. Relevant supporting information including the Pre-Export Data Checklist should be uploaded to DECS. See section 5. **Pre-Export Consignment Checks.**

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4.4.5 Schedules

When space in a certificate is insufficient to accommodate full details of the consignment a schedule may be used.

In the relevant section of the certificate the certifying officer should annotate the certificate 'see attached schedule'. The schedule should be created containing the same information as that required in the certificate.

The schedule must include the certificate reference number on each page and must be signed, dated and stamped by the certifying officer in a colour other than black on each page and under the last entry.

Any blank spaces in the schedule should be struck through with diagonal lines. The pages of the certificate, including the schedule, should be numbered to make a complete and indivisible document (EHC and schedule).

For Traces NT the schedule should be uploaded to section I.17

The complete document should be stamped as per any guidance notes.

Schedule templates may be found here: [Schedule for additional product information | Department of Agriculture, Environment and Rural Affairs](#)

4.4.6 Sealing of export loads and security of DAERA seals

Where a seal number is required on the EHC, all loads for export to non-EU countries are sealed with a DAERA seal and the seal number recorded on the EHC. Loads are either sealed by the OV/MI or sealing supervised by the OV/MI.

DAERA seals are held securely by the OVMIT and a register of seals received and used is kept locally. Seal records can be in hard copy or stored in premises CM location.

4.4.7 Completed Export Health Certificates (EHCs) and copies of EHCs and IMCs/BCs

A scanned copy of each fully completed and signed EHC must be made and uploaded to DECS for each EHC issued. Where IMCs/BCs (e.g. BC(NI)1304a) are issued, the completed, signed, and stamped IMC/BC can be scanned/copied and held in a CM container locally or filed in hard copy. IMCs/BCs received in cold stores must be copied and saved to the relevant CM folder.

Fully completed and signed EHCs/IMCs/BCs are given to the FBO/exporter as per local arrangements for delivery/receipt of completed certificates. It is advised that local arrangements for delivery of completed certificates to the FBO/exporter are detailed in the premises key task guide.

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4.4.8 Guidance for requests to amend completed certificates which have been issued to the exporter.

After an Export Health Certificate (EHC), or a copy of that certificate, has been issued to the exporter, a range of scenarios may lead the exporter to request an amendment to the completed EHC.

Guidance for EHC amendment requests has been drawn up to help certifying officers (CO) decide which route to take if they receive such a request. The guidance is accessible to DAERA staff here: [Guidance for EHC amendment requests | NICS Intranet \(nigov.net\)](#) and covers the following:

- A. Overview of Options
- B. Factors to consider on receiving a request to amend a completed certificate.
- C. Roles and Responsibilities
- D. Summary of Procedures for acceptable amendments:
 1. **Manual amendments**
 2. **Replacement certificates** – cancel and replace (C&R)
 3. **New certificates** – cancel and start again with a new application instead of replacement.

4.4.9 DAERA Letter of Clarification

A letter of clarification can be used when an Export Health Certificate has been issued and there is a subsequent request from the Competent Authority in the receiving country for further information.

This may be a request for:

- Additional information over and above what is required on the original EHC
- Information missing from the original EHC
- An amendment to information on the EHC
- Clarification of an SPS matter

A letter of clarification is to be used in the scenarios noted above where a replacement certificate is not required.

A letter of clarification template is available on the DAERA intranet and accessible to DAERA staff here: [DAERA Letter of Clarification | NICS Intranet \(nigov.net\)](#)

For any queries about using the template contact: DAERATradeExports@daera-ni.gov.uk

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4.4.10 Certification to a non-EU country direct from a slaughter/cutting premises.

Steps to take where export health certification is requested directly from a slaughter/cutting premises with or without a co-located cold store:

- Exporter / FBO liaises with the SMI as the export progresses, avoiding “surprises” and taking account of timelines
- Exporter / FBO notifies SMI once all docs are uploaded to DECS in accordance with an agreed period of notice.
- SMI conducts a final assessment of the documentation which has been uploaded to DECS against the relevant EHC and NFG in conjunction with completion of the Pre-Export Data Checklist (PEDC) (see Section 5. Pre-Export Consignment Checks) taking advice from the OV, if necessary.
- In cases where different OVs cover a premises over a period of days, the SMI determines which OV will be available to complete the EHC and liaises with them.
- If the consignment is satisfactory for certification based on the OV’s own further verification and/or confidence in SMI/MIT controls and assessment, the OV can sign the EHC.
- If the consignment is unsatisfactory for certification, the OV does not sign the EHC, and the process reverts to SMI.

NOTE: The SMI or OV may delegate all or part of the SMI’s role in the above process to a suitably trained MI.

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5. Pre-Export Consignment Checks

Documentary, identity, and physical checks must be carried out on all consignments prior to issue of a final Export Health Certificate (EHC). An MI may act on behalf of the OV to carry out the checks, and to oversee container loading. The OV must ensure that the MI is fully aware of the necessary checks required to allow the veterinary certificate to be issued.

Where an OV, with the assistance of an MI, is in a position to verify all the details of a consignment and certify in full in advance of the completion of loading, then the signed certificate can be left in the safe keeping of an MI until the container loading is completed. The MI can ensure that the FBO fulfils all obligations including that:

- i. The container, as identified, is suitable for the intended transport and in the appropriate hygienic condition.
- ii. Only the meat as identified and assembled by the exporter, or his agent is loaded into the transport.
- iii. While being loaded the meat is handled hygienically.
- iv. The appropriate transport temperature is set on the transport refrigeration thermostats/ refrigeration installed on container.

Checks are carried out, recorded and retained with the other support documentation for that consignment. The Pre-Export Data Checklist (PEDC) provided below is used for all EHCs and when complete must be uploaded to DECS as supporting evidence for the EHC issued. Alternatively, the PEDC can be saved in a suitable CM location as per local arrangements and the location outlined in the premises key task guide.

The PEDC accessible to DAERA staff here:

[Pre-Export Data Checklist for Cold Stores and FBOs exporting directly to a TC](#)

Documentation checks required by certifying officers

Where movement documents i.e. IMCs or background certificates (see section 4.3.2) are part of the process the certifying officer may be required to check the export eligibility of the product for export by accessing the trade verification records of the premises of production when that premises is in Northern Ireland.

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A document detailing the checks on export eligibility and documentation required is available to assist certifying officers carry out documentation verifications on loads certain for export. This document is available to DAERA staff here:

[Record AE1/26/483578: Non-EU/TC export eligibility for movements within UK](#)

The document linked above details the Form 10A/10B trade verification record checks the certifying officer must check for the countries and commodities included in the document.

The document also contains the assurances certifying officers are expected to be presented with as part of the supporting documentation uploaded to DECS or the certifying officer requests for specific commodities including those moving from GB to NI.

5.1 Dual loading protocol for cold stores

Where a part load collected at one NI coldstore, travels to second coldstore in Northern Ireland, where it is further loaded and certified for export, the following arrangements apply:

- Exporter must inform OV/MITs at both the first and second cold stores that there will be part loads and from which coldstore final export will take place. Final coldstore must be entered on the EHC.
- Normal procedures for uploading all the required paperwork to DECS apply.

Procedures in coldstore where first product loaded:

- Supporting documentation on DECS must be available for the OV/MIT in the coldstore where the load begins prior to the part load leaving the first coldstore.
- FBO/s uploading info to DECS must make clear to which part of the load any supporting information applies.
- OV/MIT in coldstore where load begins must be content that all export requirements are met for the product making up that part of the load.
- OV/MIT complete Pre-Export Data Checklist and carry out 5 box check as normal.
- OV/MIT must seal the load with a DAERA seal.
- OV/MIT upload Pre-Export Data Checklist to DECS under “Supporting Documents” **as soon as checklist is complete** so OV/MIT at second coldstore have sight of it when they are making their checks.

Procedures in second coldstore from where product is exported:

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- Ideally DAERA seal removed by OV/MIT, but if not, every seal removed then at least one per week must be removed by OV/MIT.
- If seal removed by FBO then it must be presented to OV/MIT.
- Supporting documentation on DECS must be available for the OV/MIT in the coldstore where further loading takes place.
- OV/MIT in coldstore where further loading takes place must be content that all export requirements are met for the product making up the second part of the load. Pre-Export Data Checklist is completed for product that is loaded at the second coldstore; including 5 box check for product loaded at the second coldstore.
- NB on Pre-Export Data Checklist record the seal number that was applied in first coldstore and removed on arrival at second coldstore. Please make clear that this is the seal number that was **removed**.
- As per normal completion of Pre-Export Data Checklist note the load export seal number which was applied to the export load once all loading and checks are complete.

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6. Enforcement

- 6.1 Withdrawal of export certification**
- 6.2 Enforcement of EU compliance**
- 6.3 Third Country Premises approval**
- 6.4 FBO Action Plan**
- 6.5 Notice of Intention to Delist (NOID)**
- 6.6 Withdrawal of the NOID**
- 6.7 Recall of non-compliant product**
- 6.8 Notification of Competent Authorities**

6.1 Withdrawal of export certification

Where production standards do not meet non-EU country standards, veterinary export certification for product not meeting the standard must be withdrawn.

6.2 Enforcement of EU compliance

Enforcement action to ensure EU compliance, where applicable, will be carried out in line with the standard approach to enforcement of EU compliance. See Chapter 07 of the Manual for Official Controls. Breaches of the EU and domestic regulations will lead to the hierarchy of enforcement being followed. Since compliance with EU Regulations is a minimum requirement to export, failing to address non-compliances in a timely manner could result in a recommendation to Defra to suspend the export activity and / or de-listing from the third country approved establishments list (for example when the FBO EU audit has an outcome of 'Improvement Necessary or 'Urgent Improvement Necessary).

Where a premises is under formal enforcement e.g. a Remedial Action Notice (RAN) / Hygiene Improvement Notice (HIN) has been issued/ the incident referred for investigation by Veterinary Service Enforcement Branch (VSEB) with view to prosecution the premises is expected to continue to operate to the export standards of the countries they are approved/listed to export to. However, depending on the reason for formal enforcement/referral for investigation no additional assurances or certification by DAERA personnel may be provided for product produced during this period. This includes movement certificates (internal and background), Form 10A & 10B trade verification checks, and provision of EHCs.

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Before any formal notices are served or an issue referred for investigation the OV, as per MOC Chapter 7 Enforcement, consults with their regional DVO/SPVO.

The FBO will be informed when export assurances are going to be withdrawn. When the compliance issue has been resolved and the formal enforcement period concluded export assurances can resume. However, if the issue remains unresolved a recommendation to Defra to suspend the export activity and / or de-listing from the third country approved establishments list may be taken as the next step.

6.3 Non-EU country premises approval

Where site specific third country premises approval applies, the Trade Programme DVO for meat must be notified where production standards do not meet Non-EU country standards. The FBO should be advised that the non-EU country premises approval will be suspended if an action plan is not implemented to ensure rectification of the non-compliances in a timely manner. A review of the non-EU country compliance audit frequency may result in monthly audits for a minimum of three months, and, where applicable, reversion to quarterly audits rather than annual audits until confidence in FBO systems is fully restored.

6.4 FBO Action Plan

An action plan should be agreed with the FBO to reinstate non-EU country standards. The action plan should cover the following areas:

1. Description of the non-compliance, including photograph, if applicable.
2. Immediate action to resolve the non-compliance, including disposition of any non-compliant product.
3. Root cause analysis of the non-compliance.
4. The measures that will address the root cause and prevent reoccurrence of the non-compliance.
5. Validation of any additional controls put in place, to ensure their effectiveness in prevention of a reoccurrence.
6. Monitoring and verification procedures to ensure that those measures are effective on an ongoing basis.
7. Long term corrective action: The control measures and monitoring procedures to be put in place to deal with hazards introduced where deficiencies could not be corrected immediately, if applicable.

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8. Photograph of the area/item following corrective action or sample of documents e.g., records, forms, SOPs etc. as evidence of compliance.

The completed action plan should be verified by the OV, when non-EU country export conditions are reinstated. The timescale of completion will depend on the nature of the non-compliance. If the FBO demonstrates a proactive approach to addressing the non-compliance as quickly as is practically possible, then it is expected that withdrawal of certification will suffice as an intervention. The DVO should be consulted for advice at all stages.

A template for a corrective and preventative action plan is accessible to DAERA staff here: [Record AE1/25/1024160: CAPA doc](#)

6.5 Notice of Intention to Delist (NOID)

If compliance is not achieved promptly, or if the FBO does not demonstrate commitment to achieving compliance promptly then a **Notice of Intention to Delist (NOID)** should be served on the FBO. This gives the FBO a period of 30 days to complete full corrective action. During this period veterinary export certification will be withheld. Failure to comply with the NOID will result in delisting of the establishment. In exceptional circumstances, for example when scheduled major structural repairs will exceed the 30-day period, an extension to the NOID can be given, under the guidance of the Trade Programme DVO for meat.

6.6 Withdrawal of the NOID

Verification of FBO corrective actions implemented satisfactorily and in full will be carried out by the site Official Veterinarian in conjunction with the DVO. These corrective actions must include systems in place to prevent a reoccurrence of the non-compliance, as applicable. Section 3 of the NOID must be completed, and a copy given to the FBO and DVO.

6.7 Recall of non-compliant product

If it is established that meat which is not compliant with Non-EU Country and /or EU standards has already been certified and is in transit to or already in the non-EU Country destination, a recall of the certificate and the affected product will be initiated in conjunction with the Food Standards Agency. DEFRA will be notified without delay. Defra will communicate with the competent authorities of non-EU countries as necessary.

6.8 Notification of Competent Authorities

At all stages the Trade Programme DVO should be consulted prior to and informed of actions taken. The DAERA Chief Veterinary Officer (CVO), the FSA and DEFRA will be notified by the Trade DVO / Trade Branch. Defra will communicate with the competent authorities of non-EU countries as necessary.

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- when the FBO EU audit has an outcome of 'Improvement Necessary or 'Urgent Improvement Necessary
- when a NOID is issued
- when a NOID is withdrawn
- when a premises has been delisted

Notice of Intention to Delist Notice (NOID) document is accessible to DAERA staff here: [Record AE1/18/27709: NOID](#)

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7. Product rejected by a non- EU country.

<http://nics.intranet.nigov.net/daera/documents/staff-instructionshttp://apha.defra.gov.uk/official-vets/Guidance/bip/manual.htm>

7.1 Meat exported from NI cold store rejected by a non-EU country.

Trade Imports document 'PROCESS FOR IMPORT OF PRODUCTS OF ANIMAL ORIGIN RETURNED TO NORTHERN IRELAND FOLLOWING REJECTION BY A THIRD COUNTRY' contains VPHP procedures for OV's in cold stores when product has been returned to NI from third countries because it has been rejected by the third country. This document is accessible to DAERA staff here:

[Record AE1/24/1935542: Returned product from 3rd country.](#)

As soon as FBOs / Exporters learn of a consignment which has been rejected by a non-EU country at the point of entry to that country, they must advise DAERA without delay. DAERA TradeExports@daera-ni.gov.uk must be notified either by the FBO / Exporter directly or via the premises OV.

Rejected consignments which are returning to Northern Ireland (partial or whole) must be notified to daeratradeimports@daera-ni.gov.uk well in advance so that further instruction can be given.

All rejected consignments should be investigated and be the subject of corrective actions, as necessary, by the relevant FBOs, liaising with DAERA and the premises EHO as relevant. If the investigation reveals a food safety issue, then FSA in NI is informed by the VPHP Regional DVO/SPVO.

Rejected consignments which have been officially reported to Defra via the competent authority of the relevant non-EU country will require an official

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investigation. This will be led by DAERA who will provide further instruction on a case-by-case basis.

Additionally, any consignment which has been certified by DAERA intended for export to a Non-EU country which has left UK / EU territory, but is returning to Northern Ireland (for commercial reasons or otherwise), must be notified to the relevant DAERA OV and to daeratradeimports@daera-ni.gov.uk by the FBO / Exporter.

8. Appendix

8.1 GVFI

GVFI Ltd is the leading partner for meat import in Switzerland. GVFI imports meat from around the world. Information for DAERA staff is accessible here: [GVFI Resources | NICS Intranet \(nigov.net\)](#).

These are non-SPS, non-veterinary certificates and as such, a DAERA generic stamp should be applied by certifying officers, rather than a personal stamp

VPH teams are advised to save relevant documentation to a folder created for GVFI for the relevant premises in Content Manager. VPH admin can assist with creating a suitable container if needed.

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Annex 1

Trade Verification Forms: Key Points

NOTE: Many of the verification checks recorded on these forms may be completed by a suitably trained SMI or MI. The OV must review and sign off as complete as per the frequencies indicated on the relevant form. The OV must accompany SMI/MIs to observe them performing and recording checks at a frequency that gives the OV the necessary assurance that checks are being done satisfactorily.

US FBO Monitoring and Verification

Form 1 - HACCP SYSTEM– Routine Random Verification Checklist

- Each CCP (other than zero tolerance CCP01) to be randomly checked at least **once a week** for both Monitoring and Verification (the same or different days).
- Enter the name of each CCP from CCP02 (CCP01 is commonly the zero tolerance CCP and is dealt with in Form 1A) into the record and indicate the actual CCP being checked.
- Note whether monitoring or verification (M/V) is being checked.
- Note component being checked: whether it is record keeping (RK) or review and observation (RO).
- Answer the series of questions to determine compliance with yes / no (Y/N) answers, note any comments, and the time these checks were carried out.
- Explanatory notes on monitoring and verification are on page 2 of Form1.

To comply with the requirement that the HACCP plan is reviewed each time CA verification takes place the OV/OA verifying the CCP needs to make sure they are fully familiar with the contents of the most recent version of the HACCP Plan. This means checking the part of the HACCP plan which lays out CCP monitoring and verification, and includes checking with FBO that the plan viewed is the most up to date version.

US Form 1A - HACCP SYSTEM– CCP1_Routine Random Verification Checklist

- OV checks of the FBO monitoring and verification of CCP 1 (zero tolerance **of faecal, milk, ingesta contaminants**) to be carried out **DAILY**.
- Note whether monitoring or verification (M/V) is being checked.

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- Note component being checked: whether it is record keeping (RK) or review and observation (RO).
- Note name of inspector, date of inspection, number of carcasses checked (at least 12/shift), list carcass kill numbers.
- Answer the series of questions to determine compliance with yes / no (Y/N) answers note any comments and the time these checks were carried out.
- Explanatory notes on monitoring and verification are on page 2 of Form 1A.

The same as with Form 1, to comply with the requirement that the HACCP plan is reviewed each time CA verification takes place, the OV/OA verifying the CCP needs to make sure they are fully familiar with the contents of the most recent version of the HACCP Plan. This means checking the part of the HACCP plan which lays out CCP monitoring and verification, and includes checking with FBO that the plan viewed is the most up to date version.

US FBO Corrective Action

Form 2 - HACCP SYSTEM – Routine Random Verification Checklist

- Complete when corrective action has been taken by the FBO in response to either:
 - A. Deviation from a CCP critical limit (whether detected by FBO or OVMIT).
 - B. Deviation not covered by a specific corrective action, or an unforeseen hazard occurs.
 - Where FBO instigates their own corrective action procedures, returns the CCP to control, and establishes measures to prevent recurrence then for an isolated breach of a critical limit **completion of Form 2 will still be required by OVMIT.**
 - Indicate the CCP if applicable (as would be the case of a deviation from a critical limit).
 - Note component being checked: whether it is record keeping (RK) or review and observation (RO).
 - Answer the series of questions to determine compliance with yes / no (Y/N) answers note any comments.
 - Explanatory notes on corrective actions are on page 2 of Form 2
 - **Every time** there is a deviation from a critical limit OVMIT will **always verify** that the corrective actions taken by the establishment meet the requirements of the regulation. The recordkeeping or the direct review and observation components can be used to verify corrective action taken.
- vii. In the case of an isolated breach of a critical limit, and the FBO's corrective action/s, reassessment of the HACCP is not automatically required.

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US FBO Reassessment requirements.

Form 3- HACCP SYSTEM - Routine Random Verification Checklist

- Complete this form **after each HACCP change (if no changes, then complete annually)** to determine if FBO complies with their requirement for:
 1. **Annual reassessment of their HACCP plan and reassessment after any changes in plant processes** and
 2. **Reassessment of the hazard analysis** whenever a change occurs that could reasonably affect whether a food safety hazard exists.
 - Completion of this form relies on OV knowledge of the operation and the changes that occur within that operation.
 - Indicate the CCP/s if applicable.
 - Note component checked whether it is record keeping (RK) or review and observation (RO).
 - Note name of OV/OA, date, and time of inspection
 - Answer the series of questions to determine compliance with yes / no (Y/N) answers note any comments.
 - Explanatory notes on reassessment are on page 2.
 - HACCP reassessment is required by the FBO if, but not limited to:
 - Breaches of a critical limit, whether identified by FBO or OVMIT, even if each has been individually corrected by the FBO, if OVMIT are not content that the FBO has satisfactorily ensured prevention of recurrence.

US FBO Records Keeping

Form 4 - HACCP SYSTEM – Routine Random Verification Checks

- Records for each CCP checked at least **weekly**.
- Indicate the CCP.
- Note component checked: whether it is record keeping (RK) or review and observation (RO).
- For the following areas answer the series of questions to determine compliance with yes / no (Y/N) answers and note any comments:
 - Record Keeping System
 - Supportive Documentation Requirements
 - HACCP Records Requirements
 - Records Authenticity
 - Computerised Records
 - Record Retention and Availability
 - Pre-Shipment Review Requirement
- Explanatory notes on record keeping are on page 2.

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US Form 5 – Random Re-Inspection Checks

- To be completed for at least one commodity **every production day** that there are consignments destined to USA.
- Indicate whether inspection at time of despatch checks is satisfactory or not (yes/no) and note any comments or actions taken.
- At least one box per commodity to be checked after despatch inspection and any comments noted. Checks include organoleptic quality and the presence / no presence of:
 - Ingest/faecal material.
 - Foreign bodies
 - Pathological lesions
 - Lungs
- Any adverse findings will trigger an FBO investigation and prevent the export of that day's production.
- Complete section on verification of plant re-inspection procedures; yes / no answers and any comments.

FBO Microbiological Testing

Form 6 A- Pork - HACCP System – Micro Verification Checklist (US/China/RoK)

- To be completed by species, process (slaughter/cutting), and export destination:
 - A. Carcase swabbing for US export.
 - B. Pork Trotters for Export to China
 - C. Carcase swabbing for Republic of Korea export.
 - D. Product sampling for Republic of Korea export
 - E. Supervision of FBO Sampling Procedures
- Where sections are completed by officials at various times during the week/month, each official should initial and date the section they have completed.
- OV reviews and signs off the document as complete.

Form 6 B - Beef - HACCP System – Micro Verification Checklist (US/Canada)

- To be completed by species, process (slaughter/cutting), and export destination.
 - A. Carcase swabbing for US export.
 - B. Beef Exports to US: beef intended for grinding.
 - C. Beef Exports to Canada: beef intended for grinding.
 - D. Supervision of FBO Sampling Procedures

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- Where sections are completed by officials at various times during the week/month, each official should initial and date the section they have completed.
- Each month the OV reviews and signs off the document as complete.

US Form 7- DAILY SANITATION SOP Checks (SSOPs)

- Pre-Operational & Operational SSOP verification
- At least **one Operational SSOP** to be randomly checked **every day – Randomly chosen.**
- At least **two Pre-Operational checks** are carried out **each week** (recorded on Form 7 when Pre-Op SSOP checks are no longer required to be recorded on Form 8)
- Randomly chosen but recommend all pre-op SSOPs are checked at least once per month.
- Each Preoperational / Operational SSOP check can comprise of a Review and Observation (RO) and / or a Record Review (RR) Task, but both should be carried out in approximately equal proportion.
- Include signature of the official, date and time.

US Form 8 – Pre-Operational Sanitation SOP Checks (SSOPS)

- This form is used initially when a plant is seeking US approval and the CA carry out daily Pre-operational SSOP checks until OVMIT are satisfied with procedures. At this stage OVMIT resort to Form 7 and carry out at least 2 pre-operational checks each week. If at any stage OVMIT is not content with procedures OVMIT x can revert to daily pre-operational SSOP checks and return to using Form 8
 - Official pre-operational SSOP verification checks to be carried out **every day.**
 - Checks on both Record Keeping (RK) and Review & Observation (RO) to be performed. Areas/days to be chosen randomly.

US Form 9 - HACCP SYSTEM- Directed Verification Checks

- To be completed:
 - (i) **Quarterly**
 - (ii) When findings during routine HACCP verification tasks/events or results suggest the plant is not controlling its food safety system (could include situation where CCP critical limit breach detected after FBO verification and FBO controls to prevent recurrence are inadequate.)
 - (iii) After changes in the HACCP and/or re-assessments

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- Note component being checked: whether it is record keeping (RK) or review and observation (RO).
- Yes/No answers are required, and any comments and action taken noted for questions on the following areas:
 - Monitoring
 - Verification
 - Record keeping
 - Corrective Actions
 - Reassessment

Form 10 A and Form 11 A – Pork and Poultry: verification of FBO controls for export to China, Japan, Republic of Korea, Australia, USA, Canada, South Africa, Hong Kong, Singapore, Mexico

Form 10 B and Form 11B– Beef and Lamb Verification of FBO controls for Export to Japan, Singapore, USA, Canada, Philippines, South Africa, and Hong Kong

Verification document to provide assurances for export to several countries.

- Indicate on the form the countries to which the premises exports.
- To be completed at the frequencies noted for each check on the form where production for export to one of the third countries listed on form is taking place.
- Includes general requirements for all the countries listed and additional country specific requirements. The form is split into specific daily/weekly and monthly/quarterly/annual checks for each country listed.
- When producing for export indicate on the top of the form the counties for which checks have been carried out.
- Where sections are completed by officials at various times during the week, each official should sign and date the section they have completed.
- OV reviews and sign off as complete per the frequencies indicated on the forms.

Exporting from cold store: Exports of meat and offal to third countries: monitoring – Cold Store

- Verification of FBO controls for export in stand-alone cold stores
- The form is split into **weekly** and **monthly/quarterly** checks.
- **Checks to be** determined Complaint/ Lapse/ Non-compliant/ Non-Applicable as per the definitions in the table at the bottom of the form.
- Assessments are made for the following areas:

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- Inspection and processing compliance
- Environmental hygiene
- Water
- Maintenance
- Cleaning
- Pest control
- Staff training
- Food Safety Systems based on HACCP
- Handling of ABP
- Enter any other relevant information/comments.
- Where sections are completed by officials at various times during the week, month, quarter, each official should sign and date the section they have completed.
- Each quarter the OV reviews and signs off the document as complete.

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Table 1: Overview of TC Trade verification forms to be completed and frequency of completion.

Daily	Form 1a FBO Zero tolerance CCP Monitoring and Verification Form 5 Product Re-inspection Form 7* FBO Sanitation Standard Operating Procedures Form 8** FBO Sanitation Standard Operating Procedures Form 10A – Pork and Poultry FBO general controls for Third Country Export Form 10B – Beef and Lamb FBO general controls for Third Country Export
Weekly	Form 1 FBO CCP Monitoring and Verification Form 4 FBO Record Keeping Form 7* FBO Sanitation Standard Operating Procedures Form 8** FBO Sanitation Standard Operating Procedures Form 10 A – Pork and Poultry FBO general controls for Third Country Export Form 10 B – Beef and Lamb FBO general controls for Third Country Export Cold store monitoring FBO general controls for Third Country Export
Monthly	Form 6 A – Pork FBO and Official CA Microbiological Testing Form 6 B – Beef FBO and Official CA Microbiological Testing Form 11 A – Pork and Poultry FBO general controls for Third Country Export Form 11 B – Beef and Lamb FBO general controls for Third Country Export Cold store monitoring FBO general controls for Third Country Export
Quarterly	Form 9 FBO HACCP Form 11 A – Pork and Poultry FBO general controls for Third Country Export Form 11 B – Beef and Lamb FBO general controls for Third Country Export Cold store monitoring FBO general controls for Third Country Export
Annually	Form 11 A – Pork and Poultry FBO general controls for Third Country Export Form 11 B – Beef and lamb FBO general controls for Third Country Export Form 3 FBO HACCP Reassessment
1. After every CCP critical limit breach 2. Corrective Actions in Response to a Deviation Not Covered by a Specific Corrective Action, or an Unforeseen Hazard	Form 2 FBO CCP Corrective Action
After each HACCP change	Form 3 FBO HACCP Reassessment
Complete when routine HACCP verification tasks/events or results suggest the plant is not controlling its food safety system	Form 9 FBO HACCP

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*Form 7 to be completed daily for Operational SSOPs and weekly for Pre-Operational SSOPs when Form 8 is no longer required.

**Form 8 to be completed every day/once per week depending on FBO performance for initial post approval period only until OV has confidence in FBO compliance or when OV has concerns that satisfactory FBO performance is not being maintained.

Table 2: Checklist for slaughter establishment exporting to US for OV to track/show all required TC verification forms have been completed for the year.

		OV check that all required forms have been completed	OV Signature & date
<u>Daily forms:</u> Form 1a Form 2 Form 5 Form 7 Form 8* Form10A Form10B	Jan		
	Feb		
	March		
	April		
<u>Weekly Forms:</u> Form 1 Form 4 Form 10A Pork and Poultry Form 10B Beef and lamb	May		
	June		
	July		
	Aug		
<u>Monthly Forms:</u> Form 6A Pork Form 11A Pork and poultry Form 6B Beef and Lamb Form 11B Beef and Lamb	Sept		
	Oct		
	Nov		
	Dec		
<u>Quarterly Forms:</u> Form 9 Form 11A Pork and poultry Form 11B Beef and Lamb	1 st Qtr.		
	2 nd Qtr.		
	3 rd Qtr.		
	4 th Qtr.		
<u>Annual Forms:</u> Form 3 Form 11A Pork and Poultry Form 11B Beef and Lamb	Annually		

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Table 3: Forms completed in US approved premises when FBO takes CCP corrective actions and when HACCP reassessment is required.

	HACCP reassessment required by FBO Yes/No	TC Trade Forms to be completed
Single isolated CCP breach identified by FBO's own monitoring / verification controls.	No	Form 2
Post FBO CCP verification CCP breach detected by FBO or OVMIT.	HACCP reassessment may be required. This will depend on the outcome of the FBO investigation and whether the OV is content with the investigation and preventative action. NB At any point as per EU requirements enforcement action may be necessary.	Form 2 + If a HACCP reassessment has been carried out: Form 3 Form 9
Repeated breach of a CCP where OV considers FBO is not in control of the CCP	HACCP reassessment may be required. This will depend on the outcome of the FBO investigation and whether the OV is content with the investigation and preventative action. NB At any point as per EU requirements enforcement action may be necessary.	Form 2 + If a HACCP reassessment has been carried out: Form 3 Form 9
FBO has undertaken Corrective Actions in response to a deviation not covered by a specific corrective action/ not adequately covered by a specific corrective action, or where an unforeseen hazard has been detected either by the FBO or OVMIT	Yes	Form 2 Form 3 Form 9

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Table 4: HACCP reassessment and TC Trade Forms completed in US approved premises.

	HACCP reassessment required by FBO Yes/No	TC Trade Forms to be completed
A change has happened that could alter the hazard analysis Possible Process Changes: <ul style="list-style-type: none"> ➤ raw materials or source of raw materials ➤ product formulation ➤ slaughter or processing methods or systems ➤ production volume ➤ packaging ➤ distribution systems ➤ intended use or consumers ➤ personnel 	Yes	Form 9
The HACCP plan no longer meets regulatory requirements	Yes (Immediate modification required.)	Form 9
Annually	Yes	Form 9

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Table 5: Overview of the SOPs, RMOPs, and verification forms required for commonly exported to non-EU Countries*

For details for any countries commodities not listed here refer to relevant NFG and Trade Team Grid in section 2.5.1

Country/exporting premises	Species	Forms Required**
Australia	Pork	SOP +RMOP for export of ROI pigs Forms 10A and 11A
Canada	Beef Lamb	SOP +RMOP required for BEEF for GRINDING Form 6B (premises doing N60 beef only) Forms 10B and 11B
	Pork	SOP Form 11A
China	Pork	SOP Form 6A Forms 10A and 11A
Hong Kong	Pork	SOP Forms 10A and 11A
	Beef Lamb	SOP Forms 10B and 11B
	Poultry	SOP
Japan	Pork	SOP Forms 10A and 11A
	Lamb Beef	SOP Forms 10B and 11B
Philippines	Beef	SOP Forms 10B and 11B
Singapore	Pork	SOP Forms 10A and 11A
	Lamb Beef	SOP Forms 10B and 11B
South Africa	Pork	SOP Forms 10A and 11A
	Beef	SOP Forms 10B and 11B
South Korea	Pork	SOP Form 6A Forms 10A and 11A
	Poultry	SOP Forms 10A and 11A
Taiwan	Pork	SOP
Mexico	Pork	SOP Forms 10A and 11A
USA	Pork	RMOP Forms 1, 1A, 2, 3, 4, 5 Form 6A Forms 7, 8, 9 Forms 10A and 11A
	Beef	RMOP Forms 1, 1A, 2, 3, 4, 5 Form 6B Forms 7, 8, 9 Forms 10B and 11B
Cold Stores	All species	Third Country checklist Cold Store Weekly Third Country checklist Cold Store Monthly

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Cold Stores and any premises exporting directly to a TC	All species	Pre-Export Data Checklist
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* The frequency of checks varies by non-EU Country requirements, and is detailed in the relevant forms

All **SOPs (and RMOPs) require completion of SOP Assessment; initially when developed, when there are changes to the process and at a minimum of at least annually. See section 3.2.1 SOP assessment.