

FSIS DIRECTIVE

9000.1

9/9/1999

EXPORT CERTIFICATION

I. PURPOSE

The purpose of this directive is to clarify current Agency policy regarding the export certification process. The export certification process serves to instill confidence in U.S. meat and poultry products throughout the world; therefore, FSIS must continue to ensure a high level of integrity, security and accuracy within the process. Several directives have been combined to develop a clear set of standards for District Offices (DO) and inspection program employees to follow. This directive transmits a revised application for export (FSIS Form 9060-6 dated 9/1/1999), Attachment 1. FSIS Form 9060-6, dated 3/96 is now obsolete. Attachment 2 is a set of frequently asked questions.

II. CANCELLATION

FSIS Directives 9020.1, 9060.4, and 9080.1

Any Regional Notices or other written instructions related to export certification or reinspection of product intended for export

III. [RESERVED]

IV. REFERENCES

9 CFR 156, 307.4(c), 312.8, 316.5, 317.1, 317.7, 318.2, 322.1, 322.2, 322.4, 325.8, 325.13, 350, 351, 354, 355, 362, 381.37(c), 381.66, 381.104, 381.105-107, 381.128, 381.193

FSIS Directives 5110.1 revision 1, 9040.1 revision 2

V. BACKGROUND

A. As specified in FSIS regulations, upon application by an exporter, an FSIS inspection program employee is authorized to issue official export certificates for the shipment of inspected and passed products to any foreign country. The exporter provides a completed FSIS Form 9060-6 (Application for Export Certificate) to an inspection program employee. Upon receiving the application and before signing it, the inspection program employee verifies that the information on the application is accurate and re-inspects the product as described in paragraph VII. C. of this directive. The inspection program employee should request from the exporter any

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documentation needed. After the inspection program employee is assured that the information on the application is correct, the country requirements have been met, and there is no reason to conclude that the product has become adulterated or unwholesome, he or she signs the application and issues, but does not sign, an export certificate.

B. After receiving a completed export certificate from an exporter, an FSIS certifying official (inspection program employee that signs the certificate) verifies the information by comparing the information on the certificate to the information on the certified (signed) application. The statement on the export certificate is a certification that may be based on information provided to the certifying official, and he or she need not have been directly associated with the inspection of the product. If further clarification is needed, the certifying official will request additional information/documentation from the inspection program employee who signed the application or from the exporter. Once the certifying official is assured that all information is accurate, he or she is to sign the export certificate. If a certifying official refuses to sign a certificate, he or she should have good and sufficient reasons (e.g., the documents are incomplete, or he or she cannot verify, based on the information provided, that the product meets the export requirements).

VI. GENERAL INFORMATION

A. FSIS Library of Export Requirements (Export Library)

1. The Export Library contains country requirement information such as:
 - a. certificate requirements
 - b. eligible and ineligible products
 - c. facility requirements
 - d. labeling requirements
 - e. edible and inedible products
 - f. plant requirements to become eligible to export
 - g. VMO signature requirements
 - h. animal health requirements
 - i. list of plants eligible to export
 - j. export notices
2. Ways to access information from the Export Library:
 - a. on the internet at www.fsis.usda.gov/ofa/export/explib.htm
 - b. HP Desk
 - c. Outlook
 - d. Call the FSIS Technical Service Center (TSC) at 1-800-233-3935 or 402-221-7400
3. For information regarding animal health status and certification:
 - a. consult the Export Library
 - b. consult the TSC at the above numbers

- c. after consulting the Export Library and the TSC, if specific questions remain regarding the status of a particular disease within a State, consult the Animal Plant Health Inspection Service (APHIS) Area Veterinarian in Charge (AVIC) for that State. A list of AVIC's is included in the Meat and Poultry Inspection Directory.

B. Establishments exporting product are required to meet the regulatory requirements related to facilities and sanitation. An inspection program employee verifies that the inspection area does not pose the potential for the product to become adulterated (e.g., that the inspection area is free from pests, rodents, dirt, etc.). An inspection program employee also verifies that reinspection can be properly conducted in the inspection area (e.g., that there is adequate space, lighting, water supply, etc.).

VII. APPLICATION FOR EXPORT CERTIFICATE

A. Upon receiving an application for export, an inspection program employee reviews the application to verify that it is complete, and that all pertinent information is included.

B. An inspection program employee reviews the application to verify that the requirements of the receiving country have been met. The inspection program employee verifies statements on the application by requesting appropriate documentation from the applicant. The inspection program employee should inform the applicant that the process may be expedited if he or she provides the necessary documents along with the application.

C. An inspection program employee performs a sensory evaluation of the product to determine its eligibility for export. The inspection program employee should be particularly alert for signs that product is or may become adulterated or unwholesome (e.g. off-condition odor, torn damp cartons, or other evidence of improper handling or storage). See FSIS Directive 9040.1, Rev. 2, Re-inspection of Product Intended for Export.

D. An inspection program employee verifies that the foreign language sticker (if required) shows no wording other than that shown on the approved label. **Note:** The inspection program employee also verifies that any required letter of guarantee from the exporter supplying the foreign language sticker, which certifies that the sticker is an accurate translation of the wording on the approved label, is included.

E. After the inspection program employee completes A through D above, he or she signs the application, issues the export certificate and number, and permits the establishment to stamp product. **(Note:** An inspection program employee may allow an establishment to use a computer generated export stamp (sticker) as long as the establishment identifies the number of stickers produced before applying them to product and provides the inspection program employee with any unused stickers.)

F. The inspection program employee retains a copy of the application and any accompanying documents for filing and returns the originals to the applicant.

VIII. PRE-STAMPING OF PRODUCT

A. An inspection program employee may permit an establishment to stamp boxes and complete the export certificate when he or she is not present. Before doing this, however, the inspection program employee verifies that:

1. the establishment has identified an employee who will be responsible for the stamp and certificate,
2. the establishment has procedures to ensure the stamp will be applied in a clear and legible manner only to boxes that are in sound condition,
3. the establishment is aware that the stamp must be returned to an inspection program employee at the completion of stamping the product.

B. An inspection program employee performs re-inspection as specified in paragraph VII. C. at any time he or she determines that it is necessary.

C. An inspection program employee may allow an establishment to use a computer generated export stamp (sticker) for pre-stamping, as long as the establishment identifies the number of stickers produced before applying them to product and provides the inspection program employee with any unused stickers.

IX. EXPORT CERTIFICATES

A. The certifying official receives the appropriate completed export certificate and a copy of the certified application from the exporter. The certifying official verifies that the information on the certificate is the same as the information on the application. If the certifying official has concerns about the information on the application or the certificate, he or she contacts the inspection program employee who signed the application or the exporter to address any concerns.

B. Before signing the certificate, the certifying official:

1. Checks the certificate for accuracy and corrections.
2. Checks for attachments and lines-out any unused space.
3. Unless not acceptable to a foreign country, initials minor erasures or alterations (see Export Library to verify if receiving country permits erasures or alterations).

C. If needed, a continuation sheet is prepared by the exporter when multiple items in the shipment exceed the space available on the face of the certificate. The continuation sheet is to be prepared in quadruplicate and includes:

1. Date issued;
2. Title, e.g., Continuation Sheet for Export Certificate # _____;
3. Product description – name, boxes, weight, as indicated on the face of the certificate; and
4. The certifying official's name followed by the district number. The name and code number must be the same as that on the face of the certificate.

D. The certifying official signs the certificate only when assured that requirements of this directive are met. He or she signs the original certificate in the signature block in **other than** black ink, exactly as typed or printed, and signs all supplemental certifications e.g., special statements required by a specific country, and all continuation sheets. Also, if the importing country requires a VMO's signature, the certifying official is to include his or her professional degree. The certifying official should not stamp the certificate with the export stamp or crimp it with the raised seal.

E. The certifying official retains a copy of the export certificate and any accompanying documents for filing and returns the original to the applicant.

X. REPLACEMENT CERTIFICATES

A. A certificate replacing an original certificate is a re-certification of the product's condition **at the time of the initial export certification**. A replacement certificate for a lot **does not** represent that lot's current condition. A replacement certificate may be issued in situations such as, but not limited to:

1. The original certificate did not carry required information.
2. The original certificate carried incorrect information.
3. The name of the consignee or exporter has changed.
4. The certificate has been lost.

B. The replacement certificate must be dated with the same date as that shown on the original certificate.

C. A request to increase the box count or the total net weight shall not be honored unless the product is re-inspected in accordance with paragraph VII. B. of this directive.

D. An "in lieu of" application (FSIS Form 9060-6) is submitted to request a new certificate and must be accompanied by (if possible) the original and all copies of the original certificate. Exception: In the case of lost certificates, the exporter should

provide a letter of assurance to the certifying official stating the certificate will be returned if found. The inspection program employee notifies the TSC if the original certificate can not be found.

E. Multiple export certificates may be issued to replace an original if the exported product has been subdivided for shipping to more than one consignee, and an export certificate is required for each part, provided that:

1. The lot was originally manifested in sufficient detail to enable the direct correlation of containers, identification, and corresponding weights on the new certificate.

2. The original certificate is returned for cancellation.

F. Before issuing an “in lieu of” certificate, an inspection program employee:

1. Verifies that the following statement is in the top left margin or in the remarks block of the new certificate: “Issued in lieu of certificate no. _____. The export mark on the product covered by this certificate shows certificate no. _____.”

2. Obtains the superseded certificate (if possible), and:

(a) verifies that it is marked in the left margin or in the “Remarks” block with the number of the certificate which supersedes it, e.g., “Superseded by No. _____,” and

(b) attaches it to the “inspector’s” copy of the replacement certificate and files it in the government office.

XI. USDA/FSIS LETTERHEAD CERTIFICATION

USDA/FSIS letterhead certifications are issued for certain products when specified in the individual country requirements found in the Export Library. These certifications are prepared in quadruplicate and must include:

- A. Date issued
- B. Corresponding certificate number
- C. Establishment/plant number
- D. Name and address of consignor
- E. Name and address of consignee
- F. Certification statement e.g., I (name of inspector/veterinarian) certify...
- G. Number of packages
- H. Net Weight
- I. Product description
- J. Shipping marks
- K. Inspector/veterinarian name typed/printed, followed by professional degree, if applicable, and the District number
- L. Signature of inspector/veterinarian exactly as typed/printed

XII. INVENTORY

A. Official export stamps must be controlled at all times. Export certificates, stamps, and pertinent inventory records must be maintained under official lock or seal when not in use. The following forms are considered to be accountable:

1. MP-415-4 , Animal Casings Export Certificate
2. FSIS Form 9060-5, Meat and Poultry Export Certificate of Wholesomeness
3. FSIS-9060-7, Animal Casings Export Certificate for Countries Requiring Ante-Mortem, Post-Mortem and Fit for Human Food Statement
4. FSIS 9060-9, Inedible Product Export Certificate
5. FSIS-9060-10, Horse Meat or Horse Product Export Certificate
6. FSIS-9060-17, Animal Casings Export Certificate for Countries Requiring Ante-Mortem, Post-Mortem and Fit for Human Food Statement (For Casings Processed in Mexico)
7. FSIS-9060-18, Animal Casings Export Certificate for Countries Requiring Ante-Mortem, Post-Mortem and Sound and Clean Statement
8. FSIS 9135-3, Certificate for Export of Meat and Poultry (Canada)

B. The inspection program employee at each establishment must maintain an accurate inventory record of export certificates issued, and voided certificates.

/s/ Philip S. Derfler

Deputy Administrator
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