

## Export Certification

### Objectives

After completing this module, you will be able to:

1. Locate and access current export information and USDA partner websites on the Internet.
2. Evaluate and verify all information on FSIS Form 9060-6 and FSIS Form 9060-5.
3. Describe how to perform the Inspection Verification Procedures outlined in FSIS Directive 9000.1, Revision 1 and FSIS Directive 9040.1, Revision 3 and FSIS Notice 19-06
4. List the reasons why a Certifying Official would not sign an FSIS Form 9060-5
5. Generate and file Memorandums of Interviews related to Export Certification.
6. Describe the required AMS documents for Export Verification Programs.
7. Describe the notification procedure if an establishment fails to meet the requirements of its approved Export Verification Program.

### Resource Materials

FSIS Directive 9000.1, Revision 1  
FSIS Directive 9040.1, Revision 3  
FSIS Notice 19-06

### Web sites

Export Library  
FSIS Policy Development Division (formerly Technical Service Center)  
Agriculture Marketing Service

### Additional Resources

Export Questions and Answers

## Export Certification Module

### OBJECTIVE

After completing this module, you will be able to conduct export certification duties according to Agency guidance.

### RESOURCE MATERIALS

- FSIS Directive 9000.1 Rev.1 Export Certification
- FSIS Directive 9010.1 Rev. 1 Export Products returned to the US
- FSIS Directive 9040.1, Rev. 3 Re-inspection of Product
- FSIS Notice 19-06 Certifying Beef Products under EV Programs
- FSIS Export Library

### INTRODUCTION

Before we get into the details regarding export certification, let's cover some basics. First, what is meant by the term "export?" The Webster's Dictionary definition of the word "export" is, "to send goods from one country to another for the purpose of sale." In this case, we are interested in meat, poultry, and egg products that are being shipped from the U.S. to other countries throughout the world.

What is the purpose of export certification? The Export certification process instills confidence in the US meat and poultry products world wide. FSIS is authorized to issue official certificates for export of inspected and passed products to any foreign country. These certification activities, performed by Inspection Program Employees, verify that all requirements of the importing country are met.

### REGULATORY REFERENCES

#### **Federal Meat Inspection Acts 21 U.S.C 615-618**

Sec. 15. 615 – Inspection of carcasses and parts offered for export

Sec. 16. 616 – Authorizing inspectors and certificates

Sec. 17. 617 – Clearance prohibited to vessel without certificate

Sec. 18. 618 – Certificates and copies

Let's review the regulatory references related to your export certification duties. There are several provisions of the FMIA related to exported product.

Section 615 states: “The Secretary shall also cause to be made a careful inspection of the carcasses and parts thereof of all cattle, sheep, swine, goats, horses, mules, and other equines, the meat of which, fresh, salted, canned, corned, packed, cured, or otherwise prepared, is intended and offered for export to any foreign country, at such times and places and in such manner as he may deem proper.” This gives FSIS the authority to conduct inspections of products to be exported.

Section 616 states that the Secretary may appoint inspectors who will be authorized to give an official certificate stating the condition of the meat that is inspected.

Section 617 indicates that any shipper must have a certificate that indicates the meat to be shipped is sound and wholesome at the time of shipping.

Section 618 states that the official certificates of the condition of the meat will go FSIS, the owner/shipper, and the vessel that will transport the meat to another country.

### **Livestock Regulations:**

- 9 CFR 322.1 – Marking products for export
- 9 CFR 322.2 – Export certificates
- 9 CFR 322.3 – Transferring products for export
- 9 CFR 322.4 – Clearance of vessels and transportation

Now, let’s review the regulations that relate specifically to your export duties. There are a number of regulations that relate to export certification. We will highlight a few of the most significant ones. First let’s review the regulations that cover products from livestock. 9 CFR 322.1 covers marking products for export. When you spend time in the plant with your mentor, you will see that there are special stamps used for products that will be exported. 9 CFR 322.2 has some general instructions about issuing export certificates. The certification process shows that the product has been inspected and passed, and is not adulterated or misbranded. 9 CFR 322.3 states that establishments must apply for this service. 9 CFR 322.4 states that vessels or carriers destined to a foreign country cannot receive or transport edible products unless or until an official export certificate has been issued. The only exception for this is inspected and passed ship stores of less than 50 pounds that are not for sale.

### **Poultry Regulations:**

- 9 CFR 381.104 – Official marks
- 9 CFR 381.105 – Certification process
- 9 CFR 381.106 – Certificate form
- 9 CFR 381.107 – Country requirements

9 CFR 381.104 through 109 cover the export requirements related to poultry products. We will just highlight the requirements in 381.104 through 107. 9 CFR 381.104 shows the official mark of inspection used for poultry products that have been inspected and

passed and will be exported. 9 CFR 381.105 explains the process of export certification. Just as was true for establishments under the livestock regulations, establishments that produce poultry products for export must apply for this service. 9 CFR 381.106 covers the specific form that is used for export certification. 9 CFR 381.107 explains that the exporter is responsible for providing any unofficial documentation that is needed by the foreign country where the product will be shipped. It indicates that these certificates may cover articles that are exempted from the definition of poultry product, for example chicken feet, if they are packed under sanitary conditions and are properly labeled.

### **Export Directives and Notices:**

FSIS Directive 9000.1 Rev. 1, – Export Certification

FSIS Directive 9010.1 Rev. 1 - Export Products returned to the US

FSIS Directive 9040.1 Rev.3 - Re-inspection of Product intended for Export

FSIS Notice 19-06 - Certifying Beef Products under EV Programs

Now, let's look at an overview of the specific instructions that are outlined in FSIS Directives and Notices regarding your responsibilities for export certification. FSIS Directive 9000.1, Rev.1, covers the FSIS Forms and verification activities related to export certification. We will review the FSIS Forms and the instructions contained in this directive in detail. FSIS Directive 9010.1 Rev. 1 covers export product that is returned to the U.S. It might be refused by the foreign government, rejected by the buyer, or returned for a number of other reasons. Regardless of the reason, if product of this type is returned to an establishment in your assignment, you may be asked by the District Office to verify that the product is not adulterated or misbranded. This directive will not be covered in detail in this course. FSIS Directive 9040.1 Rev. 3 provides instructions for performing a sensory evaluation or re-inspection of product to determine the eligibility of the product for export. The purpose of this re-inspection is to determine if the product has become adulterated or unwholesome. FSIS Notice 19-06 instructs FSIS personnel to verify, in addition to other requirements, that the Applicant provides a signed document from the Agricultural Marketing Service stating that all EV requirements have been met by the establishment and suppliers of the product intended for export.

## **EXPORT CERTIFICATION**

### **FSIS Directive 9000.1, Rev. 1, Export Certification.**

This Directive provides a clear set of standards for the District Offices and Inspection Personnel to follow. As specified in FSIS regulations, upon application by an exporter (applicant), an FSIS inspection program employee is authorized to issue official export certificates for the shipment of inspected and passed products to any foreign country. This directive also states the importance of reviewing the importing country's requirements in the Export Library prior to signing documents and certificates.

**FSIS Form 9060-6 Application for Export**

The applicant provides a completed FSIS Form 9060-6 (Application for Export) to an inspection program employee.

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.

Verification activities include that the requirements of the receiving country have been met.

**If there are any questions regarding the importing country's requirements, visit the Export Library or call the Policy Development Division (formerly Technical Service Center).**

If there are concerns that each product listed on the application is eligible for export to the country listed on the application:

1. Discuss concerns with exporter
2. Document a Memorandum of Interview addressing what was discussed, and whether the concerns were adequately addressed
3. Provide a copy of the Memorandum of Interview to the applicant and maintain a copy in the inspection files.

Perform a sensory evaluation of the product to determine its eligibility for export.

Observe product for off-condition odor, torn or damp cartons which may indicate that it is or may become adulterated or unwholesome.

1. If there are signs of insanitary product handling and storage, examine the product per FSIS Directive 9040.1, Rev. 3.
2. Take any necessary actions when the product may be adulterated as provided in FSIS Directive 5000.1 Rev. 2 Amend. 1 (at official establishments) or FSIS Directive 8410.1 Rev. 4 (at non-official establishments).
3. If there is any reason to question whether the products are properly identified and labeled to meet FSIS regulatory requirements and the requirements of the importing country, examine the product as set out in FSIS Directive 9040.1, Revision 3. If the product is not properly labeled or misbranded, take the appropriate action as provided in 9 CFR 500 and FSIS Directive 5400.5, (at official establishments) or FSIS Directive 8410.1 Rev. 4 (at non-official establishments).
4. If the product in the container or the labeling of the product does not meet the requirements of the importing country, discuss the concerns with the applicant and prepare a Memorandum of Interview.

Verify that the foreign language sticker, if required, shows no wording other than what is shown on the approved label. Also, verify that the exporter, supplying the foreign language sticker, has a letter which certifies that the sticker is an accurate

translation of the wording on the approved label. **See additional Export Information Questions and Answers.**

After verifying the information on the application for export is correct, performing a sensory evaluation of the product, and determining that the product is properly labeled, then complete the following steps.

1. Sign the application.
2. Retain a copy of the application and any accompanying documents for filing.
3. Return the originals to the applicant.
4. Provide FSIS Form 9060-5 (export certificate) for completion by the exporter.
5. Issue the export stamp.
6. Allow the establishment to stamp product.
7. Secure the stamp after the establishment finishes stamping the product.

Under some conditions, pre-stamping of product is allowed. Pre-stamping is when the establishment stamps the boxes and completes the export certificate when you are not present. First, verify the establishment has identified an employee who is responsible for the custody of the stamp and the certificate. Then, verify the establishment has procedures to make sure the stamp will be applied in a clear and legible fashion only on boxes that are in sound condition. Remember that boxes that are torn or damp may indicate that product is not wholesome. Then, determine that the establishment is aware that the stamp must be returned once they complete stamping the product. If at any time you feel it is necessary, you can re-inspect the product that was pre-stamped.

### **Computer Generated Stamps**

An establishment may 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.

### **Letterhead Certification**

In some cases, USDA/FSIS letterhead certification is necessary and is issued for certain products when specified in the individual country requirements. This information can be found in the Export Library. If the exporter submits a letterhead certificate along with the export certificate, verify that: **See additional Export Information Questions and Answers.**

1. The current version of the letterhead certificate found in the Export Library was submitted.
2. No statements on the letterhead certificate have been changed.
3. The letterhead certificate is dated by the exporter.

4. Any certification required by another USDA Agency (e.g., AMS) is provided along with the completed letterhead.

After reviewing the documents and before signing the certificate:

1. Check the certificate for accuracy and corrections.
2. Check the boxes indicating that the animal received ante- and post-mortem inspection.
3. Check for attachments and ensures that the exporting firm has lined-out any unused space.
4. Do not initial minor erasures or alterations, unless this is acceptable to a foreign country. (See Export Library to verify if receiving country permits erasures or alterations). Most countries do not allow this, or the use of white out. It is best to reissue the certificate if there are errors.

Sign the original certificate in the signature block in **other than** black ink, all continuation sheets, and other certifications, including letterhead certifications. If the importing country requires a PHV's signature, the certifying official is to include his or her professional degree.

Do not stamp the certificate with the export stamp unless required by a receiving country as specified in the Export Library.

### **Refusal to Sign Export Certificates**

Do not sign the certificate if there are questions about the information on FSIS Form 9060-6, FSIS Form 9060-5, or any other certificates, including letterhead certificates. Contact the inspection program employee who signed the application, the exporter, or the Policy Development Division (formerly Technical Service Center) to address all questions. Any communication that the certifying official has with the exporter should be documented in a Memorandum of Interview. If a certifying official refuses to sign a certificate, the reasons for refusal will be reviewed by the next-line supervisor. Based on the review, the next-line supervisor will take further actions.

### **Replacement Certificates**

A certificate replacing an original export 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

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

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.

**Before signing a replacement 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:
3. 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. \_\_\_\_\_”)
4. Attaches it to the “inspector’s” copy of the replacement certificate and files it in the government office.

**Inventory and Accountable Items**

Official export stamps must be controlled at all times. Export certificates, stamps, and pertinent inventory records must be maintained under official government lock or seal when not in use. The inspection program employee does not have to be present in order for the establishment to apply the export stamp to boxes. However, when the stamp is not in use, it must be secured by FSIS personnel. The inspection program employee at each establishment must maintain an accurate inventory record of export certificates issued and voided certificates.

**Re-inspection of Product intended for Export**

**FSIS Directive 9040.1 Rev. 3 Re-Inspection of Product intended for Export**

This directive provides inspection program personnel with the procedures for re-inspecting product that has been presented for export. These responsibilities and procedures apply whether the product is located at the establishment or off-site at a non-official establishment, such as a cold storage facility. This directive was revised to provide for the examination of boxes or containers in situations where inspection program personnel have a reason to question whether the product as labeled meets the importing country’s requirements.



9 CFR 322.2 and 381.105, provide for the re-inspection and certification of products for export. The purpose of re-inspection is to verify the product's safety, wholesomeness, identity, and eligibility for export. Inspection program personnel conduct a re-inspection

of product for export after they receive and review FSIS Form 9060-6, Application for Export. As set out in FSIS Directive 9000.1, Rev. 1, Export Certification, inspection program personnel are to verify that each product listed on the application complies with the meat and poultry products regulations and the importing country's requirements. Remember to check the Export Library for updates.

If the application is in order, inspection program personnel perform an organoleptic examination of the shipping cartons for signs of poor product handling, or storage. If the cartons are sound, inspection program personnel proceed by following the instructions in FSIS Directive 9000.1, Rev. 1, sign FSIS Form 9060-6, and issue FSIS Form 9060-5 and the export stamp.

### **FSIS responsibilities when product is determined to be unsound or unwholesome**

If inspection program personnel find signs of poor product handling and storage while conducting the organoleptic examination of the shipping cartons at either official or non-official establishments, they are to take the following steps.

1. Do not sign the application.
2. In official establishments and non-official establishments, randomly select up to **5 percent** of the boxes or containers. In considering the percentage of boxes to select, inspection program personnel should consider the basis for their concern and the need to expose the contents of boxed product to the environment.

In an **official establishment**, request the applicant to open the selected sample of boxes or containers in a manner that will not create insanitary conditions or lead to product adulteration.

At official establishments when any of the product is determined to be unsound or unwholesome, issue a Non-Compliance Record under the appropriate 06 code and take the appropriate enforcement actions described in FSIS Directive 5000.1, Rev. 2 Amend.

1.

In a **non-official establishment**, request the applicant to open the selected sample of the boxes or containers in a sanitary environment, or have the selected samples of the boxes or containers moved to a facility where boxes can be opened in a sanitary environment.

At non-official establishments when any of the product is determined to be unsound or unwholesome, detain product as set out in FSIS Directive 8410.1 Rev. 4 and complete FSIS Form 8080-1, Notice of Detention.

At official and non-official establishments, when the establishment refuses to open the boxes, do not to sign the application and document in a Memorandum of Interview why the applicant will not open the boxes. Provide a copy of the memorandum to the applicant and maintain a copy in the inspection files.

**FSIS responsibilities when the information of FSIS Form 9060-6 does not meet requirements.**

If inspection program personnel have reason to question whether the product is properly identified and labeled to meet the importing country's requirements, use the inspection methodology outlined in FSIS Directives 5400.5 and 5000.1, Rev. 2 Amend. 1 .

Re-inspect the open boxes to ensure that it is properly labeled, not misbranded and is eligible for export to the country listed on the application.

Take and document enforcement or detention actions if necessary.

**FSIS responsibilities, in official or non-official establishment, if product in the container or the labeling does not meet the importing country's requirements.**

- 1..Discuss concerns with the Applicant.
- 2..Document a Memorandum of Interview.
3. Provide a copy of the Memorandum to the Applicant and maintain a copy in the inspection files.

**Direct questions to the Policy Development Division (formerly Technical Service Center) at 1-800-233-3935.**

**Certifying Beef Products under Export Verification Programs  
FSIS Notice 19-06**

**Purpose**

This notice provides Food Safety and Inspection Service (FSIS) personnel with revised instructions for effecting FSIS's certification process for meat products exported under EV programs. FSIS personnel are to verify that the applicant provides a signed document from the Agricultural Marketing Service (AMS). This document confirms that each EV requirement has been met by the establishment or establishments for products presented for export to any country with an established EV program. **NOTE: The AMS confirmation letter is not required for EV programs for products being exported to Mexico or Canada.**

**Background**

The Audit, Review and Compliance Branch of AMS has been assigned the responsibility for reviewing and approving companies as eligible suppliers of meat and meat products under the USDA Export Verification programs. The EV programs outline the specified product requirements for individual countries. See the web page link below for additional information:

<http://www.ams.usda.gov/lsg/lsrc.htm>

### **Approval of plants under an EV Program and related FSIS Responsibilities**

1. The establishment will request to be audited by AMS for EV approval.
2. AMS will notify the Policy Development Division (formerly Technical Service Center) via email.
3. The PDD (formerly TSC) will acknowledge receipt of the email and the PDD (formerly TSC) will notify the appropriate District Office, determined by the location of the facility.
4. The DO will ensure that any inspection program employee who may be involved with the certification of product for export under the EV program receives the appropriate training within five business days.
5. No later than five business days after the initial AMS notification, the affected DO will notify AMS that training of assigned inspection program personnel is complete.

The e-mail should be a reply to the initial AMS notification of audit e-mail that TSC forwarded to the DO, and state that inspection personnel at the facility are trained. (**NOTE:** The e-mail does not need to list names or dates of training).

6. AMS requires that the approved establishment maintain a copy all EV Program Audits Reports in its records.
7. The establishment is required, as part of the EV approval process, to discuss the audit reports with FSIS Inspection Personnel during a weekly PBIS meeting **prior** to the first EV export.
8. If a plant is delisted, AMS will notify the PDD (formerly TSC) and the PDD (formerly TSC) will notify the DO.
9. The District Office will then notify the affected FSIS Inspection Personnel.

### **Off-Line Inspection Verification Procedures for EV Programs**

1. Determine if the establishment has an approved EV Program during the weekly PSIS meeting.
2. Know the location and content of the approved EV Program to perform verification activities.
3. The establishment may list the products approved for export in their Quality System Manual. This manual is part of the Quality System Assessment as required by the Export Verification Program. The list will include all beef items, including beef offal, that are intended for export. The list will also contain the specific product code numbers and the Institutional Meat Product Specification item number or a detailed item description.

4. If the establishment receives meat or meat products from a supplier, determine through records if the supplier has an approved EV Program. The establishment is required to maintain these records and make them available to inspection personnel.
5. If there are concerns about the establishment properly executing the approved EV Program, notify AMS at [ARCBranch@usda.gov](mailto:ARCBranch@usda.gov) with a cc to the immediate supervisor and the PDD (formerly TSC).

Include the establishment name and number, the type of product affected, dates associated with the product, name of the country intended to receive product, and your name.

**NOTE: If any of the EV requirements are regulatory non-compliances, take appropriate enforcement actions and issue a Non-Compliance Record**

### **Verification Procedures for Exported Product Under EV Programs**

Upon receipt of FSIS Form 9060-6 from the Applicant, the inspection program employee performs the verification procedures outlined in FSIS Directive 9000.1, Rev. 1. and:

1. Verifies that the establishment is on the AMS EV approval list to export product to the importing country.
2. Determines that the product is derived from animals slaughtered **after** the establishment received AMS approval.
3. Verifies that each product listed on the FSIS Form 9060-6 is eligible for export to the importing country.
4. After determining that all requirements have been met, re-inspects the product as described in FSIS Directive 9000.1, Rev. 1 and FSIS Directive 9040.1, Rev. 3.
5. If FSIS Form 9060-6 and the re-inspection of product are acceptable, issues FSIS Form 9060-5.
6. If the application or product is not acceptable, do not sign the application and follow instructions in FSIS Directives 9000.1, Rev.1 and 9040.1, Rev. 3.

### **Additional Requirements for the Certifying Official**

As part of the EV approved program, prior to the Certifying Official signing the FSIS Form 9060-5, the establishment **must** receive a letter from AMS confirming that all the EV Program requirements have been met and the products are eligible for export.

### **Required documents that the establishment must provide to the Certifying Official,**

1. The original FSIS Form 9060-5.

2. Copy of the AMS Letter that confirms that AMS conducted a review of the required documents and determined that the items are eligible for export to the country listed on the certificate and from the facilities listed.
3. All certificates, supporting documentation, and Letterhead Certificates (if required by importing country).

**NOTE: The AMS letter requirements do not apply to EV Programs for Mexico or Canada.**

**Inspection Responsibilities when Application or Product is unacceptable**

1. Do not sign the FSIS Forms.
2. Notify the establishment.
3. Document the notification in a Memorandum of Interview.
4. Maintain copies of documents and Memorandum of Interview in government file.

**For additional information regarding this Notice or specific questions contact the PDD (formerly TSC).**

**1-800- 233-3935**

**UNITED STATES DEPARTMENT OF AGRICULTURE  
FOOD SAFETY AND INSPECTION SERVICE  
WASHINGTON, DC**

<b>FSIS DIRECTIVE</b>	9000.1, Revision 1	3/1/06
-----------------------	-----------------------	--------

**EXPORT CERTIFICATION**

**I. PURPOSE**

The export certification process serves to instill confidence in United States (U.S.) meat and poultry products throughout the world. Therefore, the Food Safety and Inspection Service (FSIS) must continue to ensure a high level of integrity, security, and accuracy within the process. This directive provides a clear set of standards for District Offices (DO) and inspection program personnel

to follow. This directive clarifies the process if an FSIS certifying official feels that he or she is unable to sign an export certificate; makes clear that a facsimile of FSIS Form 9060-6, Application for Export Certificate, may be used to provide the information requested in that form; clarifies the purpose of the Export Library; and clarifies other aspects of the directive.

## **II. CANCELLATION**

FSIS Directive 9000.1, dated 9/9/99

## **REASON FOR REISSUANCE**

FSIS is reissuing this directive in its entirety to clarify Agency policy regarding the export certification process.

## **III. REFERENCES**

21 U.S.C. 616

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 and 9040.1, Revision 2

## **IV. BACKGROUND**

As specified in FSIS regulations, upon application by an exporter (applicant), 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 applicant provides a completed FSIS Form 9060-6 to an inspection program employee. An inspection program employee may sign the application and issue (but not sign) an export certificate (FSIS Form 9060-5, Meat and Poultry Export Certificate of Wholesomeness) and export stamp, only after he or she has:

1. verified that the information on the application is correct, and the applicant has signed the application attesting to the accuracy of the information;
2. verified that the country requirements as specified in the Export Library have been met; and
3. re-inspected the product as set out in Part VII of this directive and has no reason to conclude that the product has become adulterated or unwholesome, or that the product is mislabeled or ineligible for export to the country listed on the application.

The inspection program employee should request from the exporter any documentation needed. (See paragraph VII. of this directive for more specific direction.)

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 or 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). The certifying official should document the reasons for his or her refusal to sign and notify the exporter. The exporter may correct the reasons identified by the certifying official, or forward a copy of the export documentation to the next-line supervisor (See paragraph VII. of this directive for more specific direction.)

C. If a certifying official refuses to sign a certificate, his or her refusal and the reasons for doing so will be reviewed by the next-line supervisor. Based on the review, the next-line supervisor will take one of the following actions:

1. uphold the refusal of the certifying official to sign the export certificate on the grounds that the information presented by the exporter is not adequate to justify signing the certificate; or

2. decide, based on his or her review of the record, that the signature is justified and sign the certificate. If a Public Health Veterinarian (PHV) signature is required, the next-line supervisor would forward, if necessary, to the appropriate DO personnel the findings with a recommendation that the certificate and other export documents be signed.

D. If the Front-line Supervisor signs the export certificate and determines that the certifying official's refusal to sign the export certificate was not based on good and sufficient reasons as outlined in Section B above (e.g., the documents are incomplete, or he or she cannot verify requirements), the Front-line Supervisor documents the incident and forwards a report to the DO. The DO will review the information from the Front-line Supervisor and make a decision whether or not to forward the information to the Labor and Employee Relations Division, Employee Relations Branch, for determination of appropriate administrative action, including disciplinary or adverse action.

E. When export certification services are performed in an official establishments, the issuance of export certificates that are required by 9 CFR Part 322 and 381.104 through 381.111 are not reimbursable services. Only the execution of certifications that are in addition to FSIS regulatory requirements, e.g., additional certifications that are required by the importing country, and the transferring of products for export as described in



9 CFR 322.3, are considered reimbursable services. When export certification services are performed at non-official establishments, the services are reimbursable and charged as set out in FSIS Directive 5110.1.

## **VI. EXPORT LIBRARY**

A. The Export Library contains the requirements that have been officially communicated to FSIS by the country to which the product is to be exported. It should be used to determine the eligibility of shipments for export and includes 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. PHV signature requirements, if any
  - h. animal health requirements
  - i. list of plants eligible to export
  - j. export notices
  - k. Frequently Asked Questions
- B. Ways to access information from the Export Library:
- a. on the internet at:  
  
[www.fsis.usda.gov/Regulations&Policies/Export\\_Information/index.asp](http://www.fsis.usda.gov/Regulations&Policies/Export_Information/index.asp)
  - b. Outlook: Public Folders/All Public Folders/Export Library
3. The FSIS Technical Service Center (TSC) at  
800-233-3935  
402-221-7400

C. For information regarding animal health status and certification:

a. consult the Export Library;

b. consult the TSC at the above numbers; and

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 and Plant Health Inspection Service (APHIS) Area Veterinarian in Charge (AVIC) for that state. A list of AVIC's is available on the APHIS website at:

<http://www.aphis.usda.gov/vs/areaoffices.htm>

## **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, when necessary, 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 (e.g., Export Verification record eligibility information), along with the application.

1. If the inspection program employee has concerns as to whether each product listed on the application is eligible for export to the country listed on the application, he or she is to:

a. raise such concerns with exporter;

b. document a memorandum of interview addressing what was discussed, and whether the concerns were adequately addressed; and

c. provide a copy of the memorandum to the applicant and maintain a copy in the inspection files.

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 insanitary handling or storage).

1. If the inspection program employee finds signs of poor product handling and storage, he or she may examine the product as set out in FSIS Directive 9040.1, Revision 3, Re-inspection of Product Intended for Export, and take any necessary actions when the product may be adulterated as provided in FSIS Directive 5000.1 (at official establishments (e.g., regulatory control actions or issuance of Non-Compliance Records (NRs)) or FSIS Directive 8410.1 (at non-official establishments (e.g., detaining products)).

2. Also, if an inspection program employee has reason to question whether the products are properly identified and labeled to meet FSIS regulatory requirements and the requirements of the importing country, he or she may examine the product as set out in FSIS Directive 9040.1, Revision 3, and:

a. when the product is not properly labeled or misbranded, take the appropriate action as provided in 9 CFR part 500 and FSIS Directive 5400.5, (at official establishments issuing NRs, taking regulatory control action) or FSIS Directive 8410.1 (at non-official establishments); or

b. when the product in the container or the labeling of the product does not meet the requirements of the importing country, raise the concern with the applicant and prepare a memorandum of interview as described in paragraph VII. B. 1. b. and c. above.

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, and everything is acceptable, he or she:

1. signs the application;
2. retains a copy of the application and any accompanying documents for filing;
3. returns the originals to the applicant;
4. provides the export certificate for completion by the exporter and issues the export stamp;
5. permits the establishment to stamp product; and
6. secures the stamp after the establishment finishes stamping the product.

F. An inspection program employee may permit an establishment to stamp boxes and complete the export certificate when he or she is not present (pre-stamp). However, the inspection program employee should verify that the establishment can ensure the stamp will be applied in a clear and legible manner only to boxes that are in sound condition before presenting the stamp to be used. An inspection program employee performs re-inspection as specified in paragraph VII. C. anytime he or she determines that it is necessary.

**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.

G. On the day inspection program personnel perform the procedures above at official establishments; they are to record Inspection System Procedure code 06A01 as performed. Inspection program personnel only record the procedure as performed once in a day and not for each application received. At a non-official establishment, inspection program personnel charge for the service as set out in FSIS Directive 5110.1.

## **VIII. EXPORT CERTIFICATES**

A. The certifying official receives the appropriate completed export certificate (FSIS Form 9060-5), other certificates as required by the importing country (see paragraph X.), letterhead certificates (see paragraph VIII. C.), and a copy of the signed application (FSIS Form 9060-6) from the exporter. The certifying official verifies that the information on the certificates is consistent with the information on the application by reviewing any attached documentation or checking in the Export Library and no additional statements or documents not provided for in the Export Library are added.

B. 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 and signature, followed by the district number. The name and code number must be the same as that on the face of the certificate.

C. In some cases, a USDA/FSIS letterhead certification is necessary and is issued for certain products when specified in the individual country requirements found in the Export Library. If the exporter submits a letterhead certificate along with the certificate, the FSIS certifying official is to verify that:

1. the most current version of the letterhead certificate found in the Export Library was submitted;

2. no statements on the letterhead certificate have been changed from what appears in the Export Library and no additional statements have been added;

3. the certificate is dated by the exporter; and

4. any certification required by another USDA Agency (e.g., AMS) is provided along with the completed letterhead.

The letterhead certifications are prepared in quadruplicate and must include:

1. corresponding export certificate number;

2. certification statement (e.g., I (name of inspector/veterinarian) certify...);

3. inspector/veterinarian name typed/printed, followed by professional degree, if applicable, and the District number;

4. signature of inspector/veterinarian exactly as typed/printed; and

5. date signed.

D. If the certifying official has questions about the information on the application (FSIS Form 9060-6), the certificate (FSIS Form 9060-5), any other certificates, including letterhead certificates, he or she does not sign the certificate until he or she has contacted the inspection program employee who signed the application, the exporter, or the Technical Service Center to address, and has addressed, all questions. Any communication that the certifying official has with the exporter should be documented in a memorandum of interview as described in paragraph VII. B. 1. b. and c. above.

E. Before signing the certificate, the certifying official:

1. checks the certificate for accuracy and corrections;

2. checks the boxes indicating that the animal received ante- and post-mortem inspection;

3. checks for attachments and ensures that the exporting firm has lined-out any unused space; and

4. initials minor erasures or alterations, unless this is not acceptable to a foreign country (see Export Library to verify if receiving country permits erasures or alterations).

F. The certifying official signs the original certificate in the signature block in **other than** black ink, all continuation sheets, and other certifications, including letterhead certifications. Also, if the importing country requires a PHV'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 unless required by a receiving country as specified in the Export Library.

## IX. 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; and
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. C. of this directive.

D. An 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.

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; and

2. the original certificate is returned for cancellation.

F. Before signing a replacement 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.

## X. 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.

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



---

Assistant Administrator  
Office of Policy, Program, and Employee Development

**UNITED STATES DEPARTMENT OF AGRICULTURE  
FOOD SAFETY AND INSPECTION SERVICE  
WASHINGTON, DC**

<b>FSIS DIRECTIVE</b>	9040.1, Revision 3	3/1/06

**RE-INSPECTION OF PRODUCT INTENDED FOR EXPORT**

**I. PURPOSE**

This directive provides inspection program personnel with the procedures for re-inspecting product that has been presented for export. These responsibilities and procedures apply whether the product is located at the establishment, or off-site at a non-official establishment, such as at an Identification (ID) warehouse (as provided for at 9 CFR 350.3(a)) or at a cold storage facility.

**CANCELLATION**



FSIS Directive 9040.1, Revision 2, dated 8/12/93

### **REASON FOR REISSUANCE**

This directive has been revised to provide for the examination of boxes or containers in situations where inspection program personnel have a reason to question whether the product as labeled meets the importing country's requirements.

### **REFERENCES**

9 CFR 322.2, 381.105, and 350.3(a)

FSIS Directives 7520.2 and 9000.1 and 12,600.1

### **POLICY**

A. The regulations at 9 CFR 322.2 and 381.105, provide for the re-inspection and certification of products for export. The purpose of a re-inspection of product that is to be exported is to verify the product's safety, wholesomeness, identity, and eligibility for export. Inspection program personnel conduct a re-inspection of product for export after they receive and review FSIS Form 9060-6, Application for Export.

B. As set out in FSIS Directive 9000.1, Export Certification, inspection program personnel are to verify that each product listed on the application complies with the meat and poultry product regulations and the importing country's requirements (e.g., that each product listed on the application is eligible for export to the country listed on the application).

C. If the application is complete and accurate, inspection program personnel perform an organoleptic examination of the shipping cartons for signs of poor product handling or storage (e.g., torn, damp, damaged, or off-condition cartons). If the cartons are sound, inspection program personnel proceed by following the instructions in FSIS Directive 9000.1 regarding signing the application, FSIS Form 9060-6, Application for Export Certificate, and issuing the FSIS Form 9060-5, Export Certificate.

## **II. INSPECTION PROGRAM PERSONNEL RESPONSIBILITIES WHEN PRODUCT HAS BEEN FOUND NOT TO BE SOUND**

A. If inspection program personnel find signs of poor product handling and storage while conducting the organoleptic examination of the shipping cartons at either official or non-official establishments, they are to (under Inspection System Procedure codes 06 using the inspection methodology outlined in FSIS Directives 5400.5 and 5000.1, Revision 1):

1. In official establishments and non-official establishments, randomly select up to 5 percent of the boxes or containers. In considering the percentage of boxes to select, inspection program personnel should consider the basis for their concern and the need to expose the contents of boxed product to the environment:

a. In an official establishment, request that the applicant open the selected sample of boxes or containers in a manner that will not create insanitary conditions or lead to product adulteration; and,

b. In a non-official establishment, request that the applicant open the selected sample of the boxes or containers in a sanitary environment (e.g., identification services area of the facility), or have the shipment or selected sample of the boxes or containers moved to a facility where boxes can be opened in a sanitary environment (e.g., from a cold storage facility without an ID services area).

2. Re-inspect the contents for soundness and wholesomeness.

**NOTE:** If product is frozen, inspection program personnel are to have the official establishment or identification facility temper or thaw all individual packages in the randomly selected boxes or cartons under sanitary conditions at the official establishment or in the ID services area of a non-official establishment to conduct the re-inspection. If product is canned, inspection program personnel are to follow the instructions in FSIS Directive 7520.2, Procedures for Condition of Canned Product Container Examination.

a. If the product is found to be sound and wholesome, inspection program personnel may permit the product to be re-packaged (at the packers option), sign the export application, and proceed by following the instructions in FSIS Directive 9000.1.

b. If the product is found to be not sound or not wholesome, or the establishment or facility does not open the boxes, or if the establishment elects to not move the sample or cancels the shipment, and inspection personnel have reason to believe the product may be adulterated, inspection program personnel:

i. are not to sign the application,

ii. at official establishments when any of the product is determined to be unsound or unwholesome, are to issue a Non-Compliance Record under the appropriate 06 code and are to take the appropriate enforcement action FSIS Directive 5000.1, Revision 1,

iii. at non-official establishments when any of the product is determined to be unsound or unwholesome, are to detain product as set out in FSIS Directive 8410.1 and complete FSIS Form 8080-1 Notice of Detention (at non-official establishments).

### **III. INSPECTION PROGRAM PERSONNEL RESPONSIBILITIES WHEN INFORMATION ON THE APPLICATION DOES NOT MEET THE REQUIREMENTS**

A. If inspection program personnel have questions regarding the information on the application, they are to present them to the applicant as set out in FSIS Directive 9000.1 e.g., request applicant to provide supporting information that verifies that the requirements of the country importing the product have been met).

B. If inspection program personnel have reason to question whether the product is properly identified and labeled to meet the importing country's requirements, they are to (under Inspection System Procedure codes 04 using the inspection methodology outlined in FSIS Directives 5400.5 and 5000.1, Revision 1) follow the above methodology for:

1. Opening boxes to re-inspect the product to ensure that it is properly labeled, not misbranded, and eligible for export to the country listed on the application; and

2. Taking and documenting enforcement or detention actions.

C. In official or non-official establishment if the product in the container or the labeling of the product does not meet the importing country's requirement.

1. Raise the concern with the applicant;

2. Document a memorandum of interview addressing what was discussed, and whether the concerns were adequately addressed; and

3. Provide a copy of the memorandum to the applicant and maintain a copy in the inspection files.

**Direct questions to the Technical Service Center at 1-800-233-3935.**



Assistant Administrator

Office of Policy, Program, and Employee Development

FSIS Notice 19-06

03/31/2006

### **REVISED NOTICE FOR CERTIFYING PRODUCTS UNDER EXPORT VERIFICATION (EV) PROGRAMS**

**NOTE: This Notice is effective April 3, 2006.**

#### **I. PURPOSE**

This notice cancels FSIS Notice 09-06, Certifying Products Under Export Verification (EV) Programs and FSIS Notice 16-06, Delay of Implementation of Instructions Certifying Products Under Export Verification (EV) Programs.

This notice provides Food Safety and Inspection Service (FSIS) personnel with revised instructions for carrying out FSIS's certification process for meat products exported under EV programs. FSIS personnel are to verify that the applicant provides a

signed document from the Agricultural Marketing Service (AMS) confirming that each EV requirement has been met by the establishment or establishments that produced the product being presented for export to any country for which an EV program has been established. The AMS confirmation letter is not required for EV programs for products being exported to Mexico or Canada.

## II. BACKGROUND

The Audit, Review, and Compliance Branch of AMS has been assigned responsibility for reviewing and approving companies as eligible suppliers of meat and meat products under the USDA Export Verification (EV) programs. The EV programs outline the specified product requirements for individual countries. See the web page link below for additional information.

<http://www.ams.usda.gov/lsg/lsrc.htm>

## III. APPROVAL OF PLANTS UNDER AN EV PROGRAM AND RELATED FSIS RESPONSIBILITIES

A. When a plant requests to be audited by AMS for EV program approval, AMS will notify the Technical Service Center (TSC) via e-mail.

1. Upon receipt of the AMS e-mail, the TSC will acknowledge receipt of the notification by replying to the e-mail.
2. The TSC will forward the AMS e-mail to the District Office (DO) where the establishment is located.
3. The DO will ensure that any inspection program employees who may be involved with the certification of product for export under the EV program receive the appropriate training within five business days, if they have not been previously trained.
4. No later than five business days after the initial AMS notification, the affected DO will notify AMS that training of assigned inspection program personnel in exports, product reinspection, and EV programs, has been completed. The e-mail should:
  - a. be a reply to the initial AMS notification ([ARCBranch@usda.gov](mailto:ARCBranch@usda.gov)) of the audit e-mail that TSC forwarded to the DO,
  - b. state that inspection program personnel at the facility are trained,

**NOTE:** The e-mail does not need to list names or dates of training.

c.be courtesy copied to [TSC.BEV@fsis.usda.gov](mailto:TSC.BEV@fsis.usda.gov) .

B. If the plant passes the initial audit and is approved for an EV program, the TSC will receive an electronically-transmitted copy of the audit. The TSC will notify the DO of the approval. The TSC will receive subsequent audit reports from AMS and maintain them on file by establishment. The TSC will respond to AMS regarding receipt of these audit reports.

C. As a requirement of an approved EV program, the plant is to maintain a copy of all EV program audit reports and is to discuss the audit reports with FSIS inspection program personnel during a weekly meeting or before the first EV export.

D. If a plant is delisted, the TSC will be notified of the delisting by AMS. The TSC will notify the DO via e-mail, and the DO will notify the affected in-plant inspection program personnel. The TSC will receive from AMS an electronically-transmitted copy of the notice of delisting, and, if applicable, the audit report. The TSC will acknowledge receipt of the delisting. The TSC will place the delisting and the audit report in its file for that establishment.

FSIS Notice 19-06

#### **IV. VERIFICATION PROCEDURES FOR EV PROGRAMS**

A. Off-line FSIS inspection program personnel should ascertain (e.g., by asking the establishment at the weekly PBIS meeting or accessing the AMS EV site listed in Section II) whether the establishment has an AMS- approved EV program. Inspection program personnel should be aware of the location and contents of the approved establishment EV program in order to verify export requirements relating to proper execution of the program.

B. Inspection program personnel may find a list of products intended for export approved under the EV Program in the establishment's Quality System Assessment (QSA) Quality System Manual as required under the EV program. The list is to contain all items, including offal products, that are intended for export. In addition, the list is to include the specific product code numbers and an Institutional Meat Product Specification item number or a detailed item description. Maintaining this information is

an AMS requirement as part of an approved EV program. Inspection program personnel may also find the list of products in Outlook at:

Public Folders/All Public Folders/OFO/Export Verification Program

**NOTE:** In the situations where a supplier and fabricator are separate establishments, the fabricator is to maintain a list of plants that are approved EV suppliers, as required by AMS. In addition, AMS will require the fabricator to maintain an up-to-date list of products that each EV supplier is approved to provide under its approved EV program. As part of the approved EV program, FSIS will have access to these plant records.

C. If, based on their verification activities, inspection program personnel develop concerns that an AMS-approved EV establishment is not properly executing its EV program (e.g., attempting to ship product that is not eligible for the importing country), they are not to sign export applications for the product in question and are to:

1. notify AMS at [ARCBranch@usda.gov](mailto:ARCBranch@usda.gov), and provide the following information in the message:

- a. establishment name, address, and number;
- b. product type, product code, and quantity of product;
- c. date of production, lot number, and shift;
- d. date and nature of observation;
- e. name of country for which product is intended;
- f. export certificate number (if applicable);
- g. any other information to verify claim; and
- h. name of inspection program personnel documenting concerns.

2. send a courtesy copy of the notification to their immediate FSIS supervisor and to the TSC ([TSC.BEV@fsis.usda.gov](mailto:TSC.BEV@fsis.usda.gov)), and maintain a copy of the message in the inspection office export file.

**NOTE:** If any of the problems with the EV requirements also are regulatory non-compliance, inspection program personnel in official establishments are to take the appropriate enforcement actions and issue a Non-compliance Record (NR).

## **V. VERIFICATION PROCEDURES FOR EXPORTED PRODUCT UNDER EV PROGRAMS**

A. Upon receiving FSIS Form 9060-6, Application for Export Certificate, an inspection program employee is to verify that (following the procedures in FSIS Directive 9000.1):

1. the establishment is on the AMS EV list as approved to export to the importing country, and that the product was derived from animals slaughtered after the date the establishment received AMS approval to export that type of product to that country (see link above for the date of approval); and

2. each of the products listed on the application is eligible for export to the country under the EV program (see: Public Folders/All Public Folders/OFO/Export Verification Program).

B. After determining that the establishment itself is eligible to export to the destination country, and that the specific products are eligible to be exported to that country, the inspection program employee will then re-inspect the product as set out in FSIS Directives 9000.1, Revision 1, and 9040.1, Revision 3.

C. If the application or product is not acceptable (e.g., the application is not complete or regulatory requirements have not been met), the inspection program employee is not to sign the application and is to follow the instructions as set out in FSIS Directives 9000.1, Revision 1, and 9040.1, Revision 3.

**NOTE:** If the application or product is not acceptable because an EV requirement has not been met, the inspection program employee, in addition to returning the application un-signed, is to follow the instructions in paragraph IV. C. 1. and 2. above.

FSIS Notice 19-06

D. If the application and product are acceptable, the inspection program employee is to follow the instructions in FSIS Directive 9000.1, Revision 1, regarding signing the application and issuing FSIS Form 9060-5, Meat and Poultry Products Export Certification of Wholesomeness.

E. As part of its EV-approved program, the establishment, before it can forward the certificate to an FSIS certifying official for signature, must receive a letter from AMS confirming that the EV program requirements have been met and the products are eligible for export as provided in:

1. a copy of the signed application (FSIS Form 9060-6);

2. the unsigned certificate (FSIS Form 9060-5); and
3. any other certificates required by the importing country, including letterhead certificates.

**NOTE:** The above requirement for an AMS letter does not apply to EV programs for Mexico or Canada.

**NOTE:** AMS sends a signed copy of the letter to the establishment and e-mails a copy to the TSC. The TSC acknowledges receipt of the letter by replying to the AMS e-mail.

F. When signing an FSIS Form 9060-5, an FSIS certifying official (e.g., Public Health Veterinarian or consumer safety inspector) should receive the following from an establishment:

1. the original FSIS Form 9060-5 and any other certificates required by the importing country, including letterhead certificates, and supporting documents; and

- 2.a copy of the letter from AMS that confirms:

- a. that AMS conducted a review of the required documents, and slaughter and processing plant information, as listed; and

- b. that AMS has determined the items listed are eligible items approved for export to the country listed on the certificate and from the facilities listed.

G. When an FSIS certifying official receives the documents in paragraph F. above, he or she is to verify, as set out in FSIS Directive 9000.1, Revision 1, that the documents are complete and accurate, and that the AMS letter confirms that EV program requirements were met.

1. If any of the documents are not accurate, he or she is to:

- a. notify the establishment and explain the problem;

- b. document a memorandum of interview; and

- c. maintain copies of the documents in question and the memorandum of interview in the government file.

**NOTE:** If the application or product is not acceptable because an EV requirement has not been met, the certifying official is to follow the instructions in paragraph IV. C. 1. and 2. above; and



2. If all documents are acceptable, sign all certifications and maintain a copy of the AMS letter in the government file along with the certifications.

**NOTE:** Verification activities related to EV programs, in any facility, are to be charged as reimbursable services (See FSIS Directive 9000.1, Revision 1).

Direct questions regarding this notice to the Technical Service Center at 1-800-233-3935.

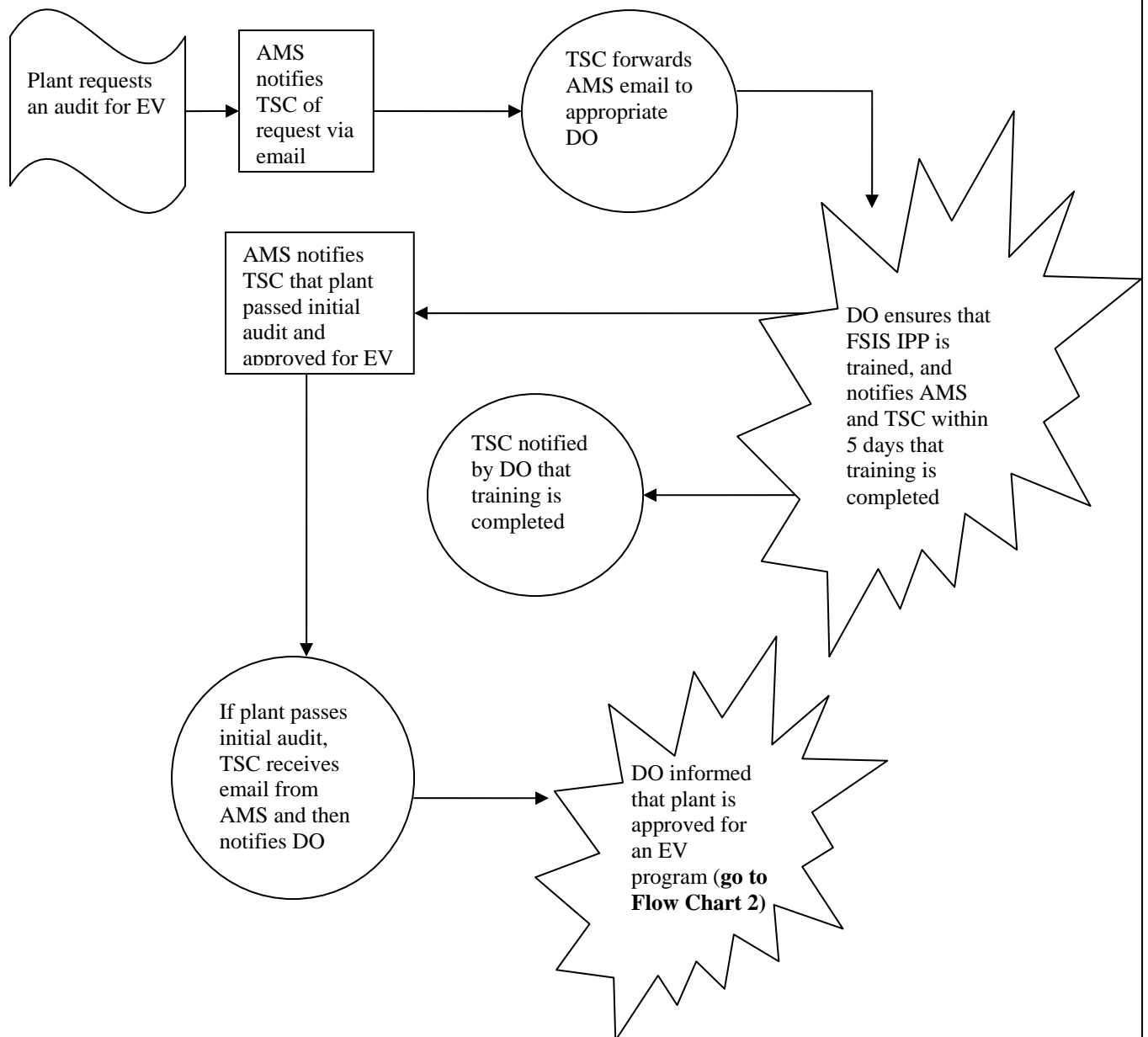
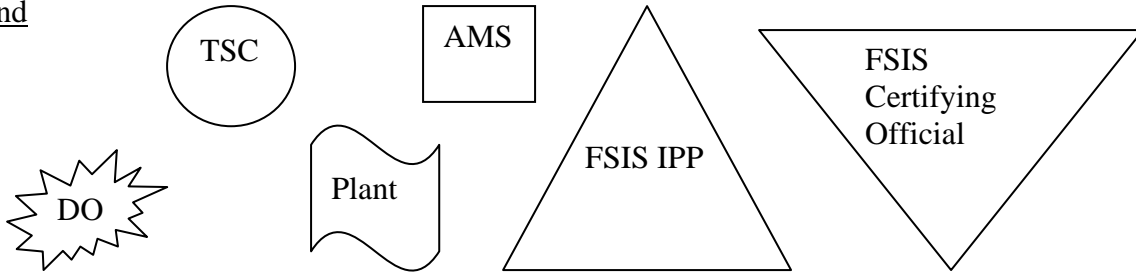


Assistant Administrator  
Office of Policy, Program, and Employee Development

**Flow Chart 1: FSIS Notice 19-06  
 Certifying Products Under Export Verification (EV) Programs**

**III. Approval of Plants Under an EV Program and Related FSIS Responsibilities**

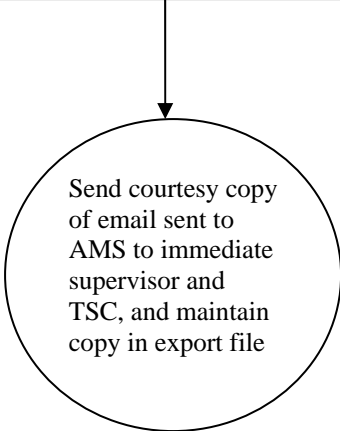
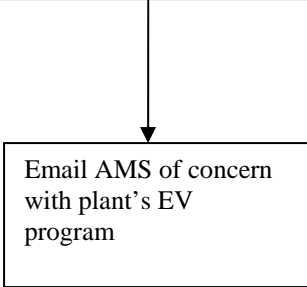
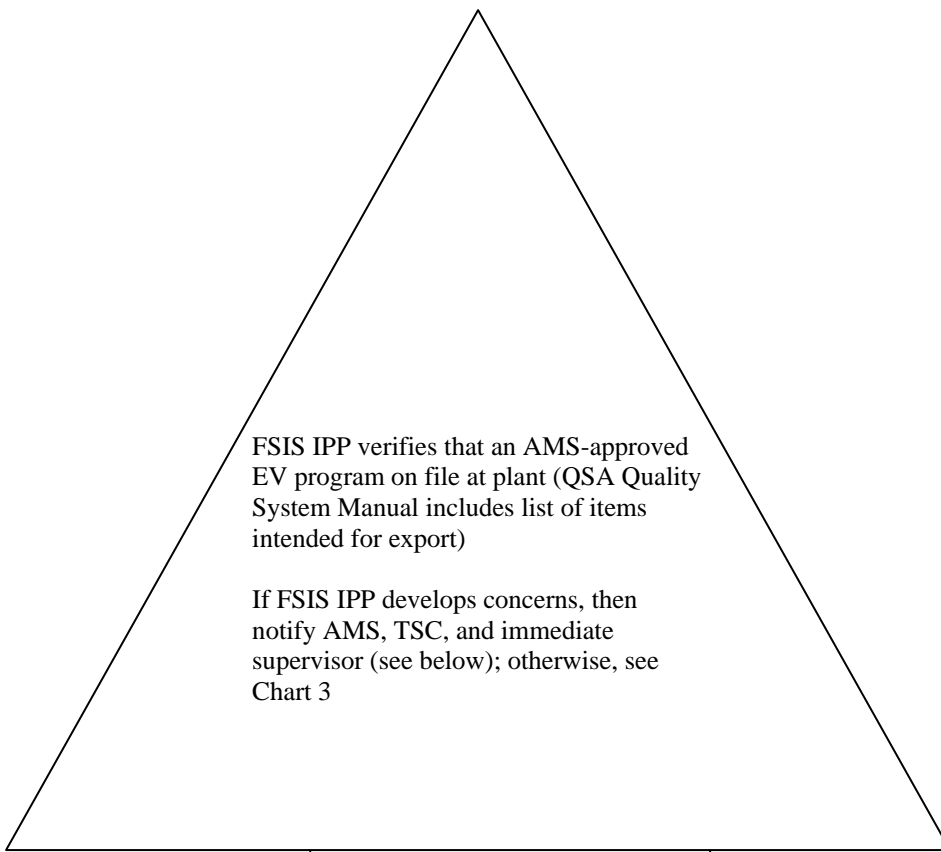
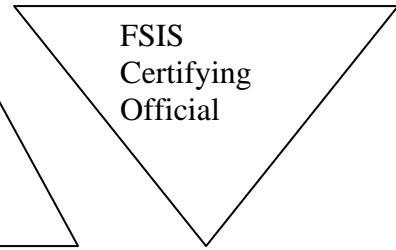
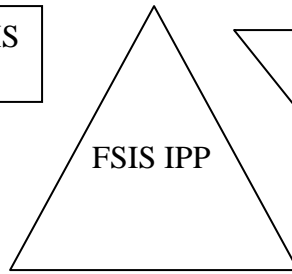
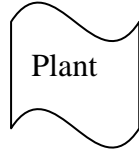
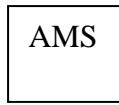
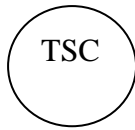
Legend



**Flow Chart 2: FSIS Notice 19-06  
Certifying Products Under Export Verification (EV) Programs**

**IV. Verification Procedures for EV Programs**

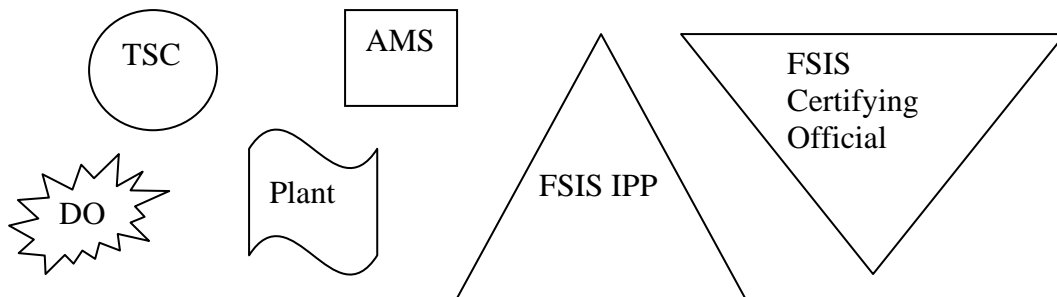
Legend



**Flow Chart 3: FSIS Notice 19-06  
Certifying Products Under Export Verification (EV) Programs**

**V. Verification Procedures for Exported Product Under EV Programs**

Legend



FSIS IPP receives FSIS Form 9060-6 and verifies:

1. Establishment is on the AMS EV list as approved to export to the importing country
2. Product was derived from animals slaughtered after the date AMS approval was provided
3. Each product listed on the application is eligible

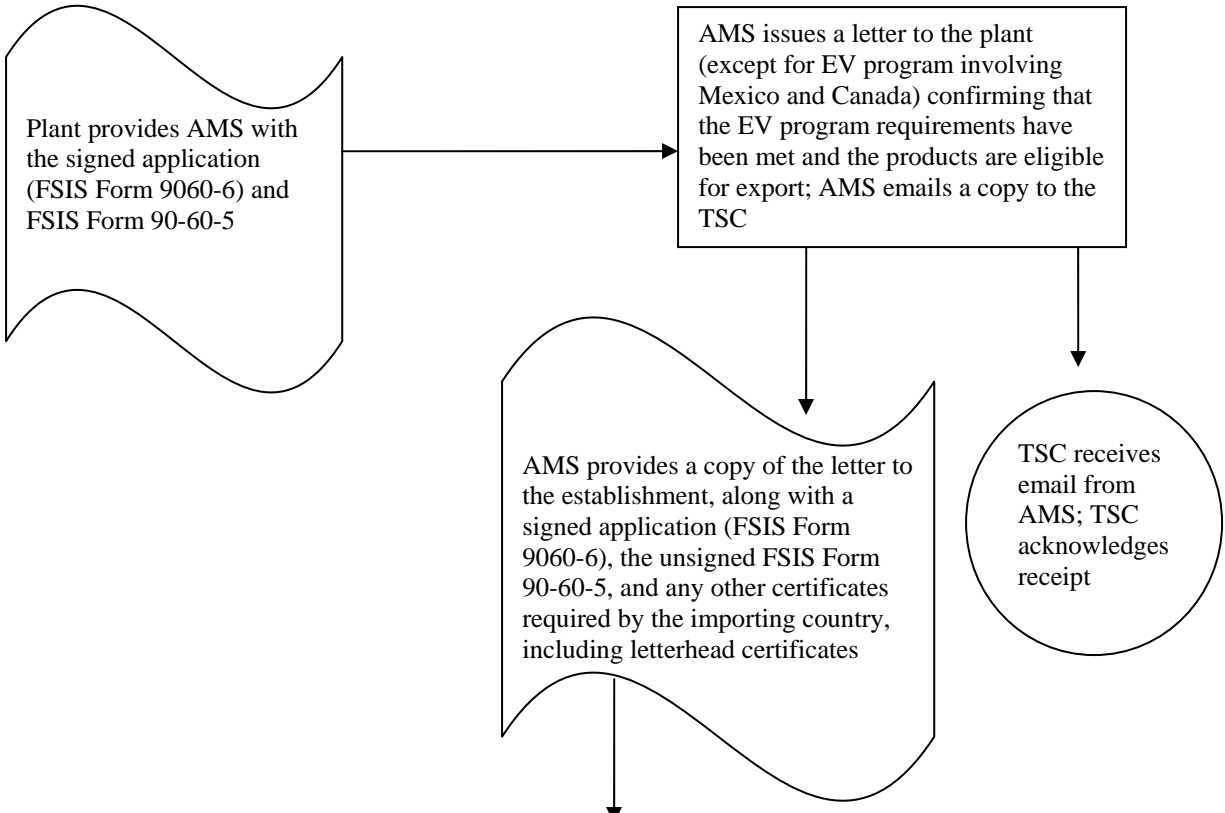
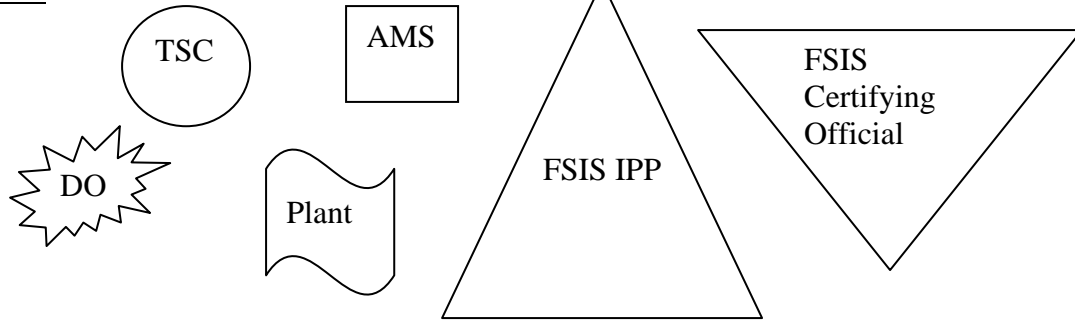
FSIS IPP re-inspects product,  
FSIS IPP signs application (FSIS Form 9060-6)  
FSIS IPP issues FSIS Form 9060-5 to establishment

**(go to Chart 4)**

**Flow Chart 4: FSIS Notice 19-06  
 Certifying Products Under Export Verification (EV) Programs**

**V. Verification Procedures for Exported Product Under EV Programs**

Legend



FSIS Certifying Official verifies:

1. Requirements in FSIS Directive 9000.1, Revision 1
2. Documents are complete and accurate
3. AMS letter confirms that EV program requirements were met

FSIS Certifying Official signs all certifications and maintains a copy in the file

## Resources

### Export Library

The Export Library contains the requirements that have been officially communicated to FSIS by the country to which the product is to be exported. It should be used to determine the eligibility of shipments for export and includes information such as:

- l. Certificate requirements
- m. Eligible and ineligible products
- n. Facility requirements
- o. Labeling requirements
- p. Edible and inedible products
- q. Plant requirements to become eligible to export
- r. PHV signature requirements
- s. Animal health requirements
- t. List of plants eligible to export
- u. Export notices
- v. Frequently Asked Questions

[http://www.fsis.usda.gov/Regulations&Policies/Export\\_Information/index.asp](http://www.fsis.usda.gov/Regulations&Policies/Export_Information/index.asp)

### FSIS Policy Development Division (formerly Technical Service Center (TSC)):

**1-800-233-3935**

**1-402-221-7400.**

[TSC.BEV@fsis.usda.gov](mailto:TSC.BEV@fsis.usda.gov)

### Agricultural Marketing Service

The Audit, Review and Compliance branch of AMS has been assigned the responsibility for reviewing and approving establishments as eligible suppliers of meat and meat products under the USDA Export Verification Programs.

<http://www.ams.usda.gov/lsg/arc/EV.htm>

This link provides information on the Quality System Assessments and Manuals as required under the Export Verification Programs.

<http://www.ams.usda.gov/lsg/arc/qsap.htm>

An email is sent to this address if there are questions if the establishment is not properly executing the approved EV Program.

[ARCBranch@usda.gov](mailto:ARCBranch@usda.gov)

**Information regarding animal health status and certification**

- d. Export Library;
- e. PDD (formerly TSC)
- f. If specific questions remain regarding the status of a particular disease within a state, consult the Animal and Plant Health Inspection Service (APHIS) Area Veterinarian in Charge (AVIC) for that state. A list of AVIC's is available on the APHIS website at:

<http://www.aphis.usda.gov/vs/areaoffices.htm>

**Additional Export Information**  
**Questions and Answers**

Q. Where can you access the Export Library?

A. The Export Library is available in two places:

- 1) Outlook: Outlook\\Public Folders\\All Public Folders\\Export Library
- 2) FSIS Website at the following link:  
[fsis.usda.gov/regulations\\_&\\_policies/Index\\_of\\_Import\\_Requirements\\_by\\_Country/index.asp](http://fsis.usda.gov/regulations_&_policies/Index_of_Import_Requirements_by_Country/index.asp)

Q. How often should I check the Export Library for updates?

A. Be aware the export library may be updated daily. Each version is identified by the date at the beginning of the page. Changes are followed by a red asterisk (\*).

Q. What is eAuthentication?

A. e-Authentication is intranet application that can only be accessed by inspection personnel that allows access to secure or privileged information.

Q. How do I verify which plants are on the EV approval list? How do I know what products are eligible for export?

A. Using eAuthentication, inspectors may access a folder in Outlook that lists plants and products produced by each plant that are eligible to be exported to the country requiring product to be produced under an EV program.

Q. Can a facsimile of FSIS Form 9060-6, Application for Export, be used to provide information?

A. Yes

Q. When is “For Export Only” appropriate on immediate containers for export?

A. “For Export Only” may apply to product that does not fully meet FSIS labeling requirements for domestic shipment. Example: Net weights are listed in metric wt. only.



Q. When does a label on product to be exported need to be approved as a sketch by Labeling and Consumer Protection Staff in Washington?

A. The FSIS Export Library must be consulted to determine if a country has special labeling requirements. Additionally, changes may be desired in ingredients, product names, etc. which cause the label to deviate from permitted domestic requirements (See E below). [Note: Be aware these requirements supplement requirements for domestic products with foreign language labels.] The following are possible export labeling situations and their approval requirements:

	Label Attributes	Approval Required	Regulatory Authority
A	<ol style="list-style-type: none"> <li>1. English only</li> <li>2. Meets FSIS requirements</li> </ol>	<b>SAME APPROVAL AS FOR DOMESTIC USE</b> ; generic approval allowed if allowed domestically	Meat - 9 CFR 317.4 or 9 CFR 317.5 Poultry - 9 CFR 381.132 or 9 CFR 381.133
B	<ol style="list-style-type: none"> <li>1. Bilingual<sup>1</sup></li> <li>2. Meets FSIS Requirements</li> <li>3. Containers <b>NOT</b> marked "For Export Only" (implies possible usage for domestic or export)</li> </ol>	<b>LCPS Sketch Approval</b> required	Meat - 9 CFR 317.4 or 9 CFR 317.5 Poultry - 9 CFR 381.132 or 9 CFR 381.133
C	<ol style="list-style-type: none"> <li>1. Bilingual<sup>1</sup></li> <li>2. Meets FSIS requirements</li> <li>3. Containers marked "For Export Only"</li> </ol>	<b>GENERIC APPROVAL</b> allowed for addition or deletion of direct translation of foreign language on English label which qualifies for generic approval or which has already been sketch approved by LCPS	Meat - 9 CFR 317.4 or 9 CFR 317.5 Poultry - 9 CFR 381.132 or 9 CFR 381.133
D	<ol style="list-style-type: none"> <li>1. English or bilingual<sup>1</sup></li> <li>2. Containers marked "For Export Only"</li> <li>3. Meets FSIS requirements</li> <li>4. Accompanied by foreign language "sticker" with special</li> </ol>	<ol style="list-style-type: none"> <li>1. Labeling                             <ol style="list-style-type: none"> <li>a. If English only , see A</li> <li>b. English and foreign language -</li> </ol> </li> <li>see C</li> </ol>	<ol style="list-style-type: none"> <li>1. Meat 9 CFR 317.4 or 9 CFR 317.5 Poultry - 9 CFR 381.132 or 9 CFR 381.133</li> <li>2. Letter of guarantee required by FSIS Directive 9000.1 for</li> </ol>

	labeling information required by the country	2. "Sticker" - allowed without LCPS approval if <b>Letter of Guarantee</b> provided by exporter	foreign language "Stickers"
E	<ol style="list-style-type: none"> <li>1. English or bilingual<sup>1</sup></li> <li>2. Containers marked "For Export Only"</li> <li>3. Does <u>not</u> meet FSIS requirements</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>LCPS Sketch approval</b> required</li> <li>2. Requires support documentation verifying foreign government acceptance of the labeling deviation.</li> </ol>	<ol style="list-style-type: none"> <li>1. Meat - 9 CFR 317.4 or 9 CFR 317.5 Poultry - 9 CFR 381.132 or 9 CFR 381.133</li> <li>2. 9 CFR 317.7 / 381.128</li> </ol>
F	<ol style="list-style-type: none"> <li>1. Foreign language only (must have Est. Number and Inspection Legend in English)</li> <li>2. Marked "For Export Only"</li> <li>3. May or may not meet FSIS requirements (translated)</li> </ol>	<ol style="list-style-type: none"> <li>1. <b>LCPS Sketch approval</b> required</li> <li>2. If does <u>not</u> meet FSIS requirements see E above.</li> </ol>	<ol style="list-style-type: none"> <li>Meat - 9 CFR 317.4 Poultry - 9 CFR 381.132</li> </ol>

<sup>1</sup> Bilingual can mean contiguous insertion of the foreign language or a separate foreign language label.

Q. What is FSIS inspection personnel’s expectation when issuing an export stamp to a company employee?

A. Export stamps are kept under FSIS security until issued to plant personnel who apply the legible export mark to the immediate containers. This process is called pre-stamping and may be done without direct FSIS oversight. When the establishment is finished with the export stamp, it must be returned to FSIS personnel for security.

Q. What is a Letterhead Certificate?

A. A letterhead certificate is an extension of the FSIS Form 9060-5 printed on FSIS stationary (FSIS Form 2630-9). Most EU Transit certificates were on Letterhead certificates until preprinted and available from Beltsville Document Center (FSIS Form 9180-XX series).

Q. What information **can be** in a Letterhead certificate?

A. It may be used to list additional products or qualifying statements that go in the remarks section.

Q. What information **must** be included in the Letterhead certificate?

A. In addition to the additional products or required certifying statements, the letterhead certificate should include: 1) Date; 2) Certificate number; and 3) Certifying Official Name and 4) signature.

Q. Where can a Letterhead certificate be found?

A. Certain letterhead certificates may be printed from the FSIS website via a hyperlink in the "Documentation" section of the Export Library. Otherwise, the in-plant Inspection Team may provide USDA stationary to the plant preparing the export documents.

Q. What **should not be** on a FSIS Letterhead certificate?

A. Many plants request a "Sorry" letter for errors on previously issued certificates. FSIS does not issue "Sorry" Letters.

Q. Can FSIS personnel cross out and initial errors on Export certificates?

A. While accepted in the past, many countries are not accepting cross-outs with initials or the use of "white out". It is best to reissue an export certificate when errors are found.

Q. Can we reissue a new certificate for more or additional product than listed on the original export certificate?

A. **NO.** Certification is based on original or reduced amounts. Product cannot be added or increased.

Q. Can additional names be added to an Export Certificate when the inspector the certificate was prepared for is not available?

A. Yes. However, certain countries may not accept more than one name on a certificate. In this case, a new document should be reissued. If appropriate, the second names should be typed after the original name using the same typewriter or printer may be accepted. Do not cross out. One signature is expected.

Q. What certificates are used as alternatives to FSIS Form 9060-5?

- A. Canada – FSIS Form 9135-3 and 9135-3A (continuation sheet)  
Russian Pork-FSIS Form 9450-3  
**Russian Poultry –FSIS Form 9450-4**

Q. When should a Russian Poultry export certificate **never be reissued**?

A. Be aware replacement certificates can be issued for these alternative forms to FSIS Form 9060-5. However, there are special instructions for FSIS Form 9450-4 for Russian Poultry. FSIS Form 9450-4 cannot be reissued once the boat has left the dock.

**From the Export Library for Russian Poultry:**

Replacement of FSIS Form 9450-4 (8/27/2002)

FSIS Form 9450-4 (8/27/2002) can be replaced up to the time of departure of product from the United States by returning the original certificate and at least the duplicate copy bearing the same serial number to FSIS. FSIS will replace the original with a new certificate with a different serial number provided that the changed information meets the criteria specified for replacement of FSIS Form 9060-5 found FSIS Directive 9000.1.

No replacement certificate will be allowed after the product departs from the U.S.

Replacement certificates for change of destination from Russian to another eligible country may be done as per FSIS Directive 9000.1, Rev. 1.

**Call the FSIS Policy Development Division (formerly Technical Service Center) for further information about replacement certificates at (402) 221-7400.**

Q. When does a plant need pre-approval to export?

A. The Export Library indicates which countries require pre-approval of each plant. The Export Library lists which countries have approved plant lists.

Q. How can FSIS inspection personnel verify if a plant is approved?

A. See eligible plant lists by country in the Export Library.

Q. If needed, how does a plant obtain pre-approval?

A. Plants must demonstrate they meet all requirements in the Export Library. The plant should then fill out FSIS Form 9080-3 forward through supervisory channels to the District Office which may be then forward to the PDD (formerly TSC) or OIA in

Washington, DC. The process takes anywhere from 1-6 months depending on the country.

Q. What happens if the country is not listed in the Export Library?

A. We can issue a 9060-5 with no special certification statements in the remarks section; however we advise the exporter it is at risk since we have no official information and to confirm with the importer the country will accept the product.

Q. What happens if the product is not listed as being eligible in the Export Library; yet not specifically listed as ineligible?

A. Unless an unlisted beef product is being exported to a country requiring an EV program, we can issue a 9060-5 with no special certification statements in the remarks section; however we advise the exporter to confirm the country will accept the product since we have no official information. Some countries may require issuance of an import permit.

Q. What is OIE and where can we find out more information about it?

A. OIE is the Office of International Epizootics which is an international animal health monitoring organization. OIE provides a list of internationally recognized food animal diseases which we may certify: [http://www.oie.int/eng/maladies/en\\_classification.htm](http://www.oie.int/eng/maladies/en_classification.htm).

Q. How do I verify the origin of product and verify the disease status of the flocks from which the poultry was derived?

A. Certifications regarding disease status can be made by information provided to the slaughter veterinarian. Sources include the in plant veterinarian, the State veterinarian and Extension veterinarians. Contact the PDD (formerly TSC) for more information.

Q. What are the requirements for ship stores and US Military Shipments?

A. "Ship stores" and "For US Military" shipments are indicated in the "remarks" section of the 9060-5. Some countries require additional health certificates such as the EU. Be aware shipments to US Military are not "harmonized" requirements; therefore, check the specific EU country in the Export Library. Also be aware that US Military shipments do not need to be stamped with the export stamp.

Q. What are "transit certificates"?

A. Transit certificates are additional health certificates for goods destined and transiting EU countries.

Q. What is involved in “trichinae certification”?

A. Russia requires trichinae certification that may include one of two methods:

1. Testing each carcass
2. Freezing at certain temperatures for appropriate time limits.