

Export Certification

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 which are inspected and passed for wholesomeness by FSIS at official FSIS slaughter and processing establishments, and approved cold storage establishments that are being exported from the U.S. to other countries throughout the world.

What is the purpose of export certification? The export certification process provides assurance that US meat and poultry products are in compliance with the importing country's requirements. As the competent authority, FSIS issues official certificates for export of inspected and passed products to any foreign country. The certification activities performed by Inspection Program Employees verify that all requirements of the importing country are met.

Objectives

After completing this module, you will be able to:

1. Describe where to locate current export requirements.
2. Explain information to be included in each field on an export application and an export certificate.
3. Describe how to perform the Inspection Verification Procedures outlined in FSIS Directive 9000.1, and FSIS Directive 9040.1.
4. List the reasons why a Certifying Official would not sign an export certificate.
5. List the reasons when a replacement export certificate can be issued.
6. Describe when a Memoranda of Interview would be written related to export certification.
7. Identify who administers the Export Verification and Less Than 30 Months of Age Verification Quality System Assessment Program (EV/QSA).
8. Describe how to navigate through PHIS Electronic Export feature pages and review 9060-6 application, and sign 9060-5 certificate manually and digitally as outlined in FSIS Directive 13000.5.

Statutory and 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 be distributed to 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 – Issuing 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 using official stamps. 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 addresses the transfer of products from tanks to containers on vessels. 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. Exceptions to this are inspected and passed ship stores, and not more than 50 pounds of inspected and passed product for the exclusive use of the consignee that are not for distribution or 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 112 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 used for export certification.

9 CFR 381.107 explains that the exporter is responsible for providing any unofficial documentation 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.

Export Directives and Notices

Now, let's look at an overview of the specific instructions outlined in FSIS Directives and Notices regarding your responsibilities for export certification.

FSIS Directive 9000.1 – Export Certification covers the FSIS forms and verification activities related to export certification, and information about re-inspection of product intended for export. We will review the FSIS Forms and the instructions contained in this directive in detail.

FSIS Directive 13000.5 – Public Health Information System Certification covers the steps that inspection program personnel (IPP) should follow for export certification in all official establishments and in facilities requesting voluntary services using the Public Health Information System (PHIS).

FSIS Directive 9000.2 – Inspection and Export Certification of Livestock Intestines or Casings covers how to decide if casings or intestines are eligible

for the mark of inspection and how to certify them for export. There are special requirements for certifying casings that are not covered in this training material.

FSIS Directive 9000.6 – Export Certification of Egg Products from Other Than Official Egg Products Plants gives instruction for issuing certificates for egg products exported from locations other than where they were produced. There are special requirements for certifying egg products for export that are not covered in this training material.

FSIS Directive 9010.1 – Export Products Returned to the US covers export product 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 exported product is returned to an establishment in your assignment, the District Office may ask you to verify that the returned product is not adulterated or misbranded. This directive will not be covered in detail in this course.

FSIS Directive 12,600.1 Voluntary Reimbursable Inspection Services addresses non-mandatory services for which the Agency receives reimbursement.

FSIS Directive 12,600.2 Reimbursable Overtime Inspection Services at Meat and Poultry Establishments provides instruction on how to determine whether overtime inspection services need to be provided and how to do so during reimbursable overtime periods.

FSIS Notice 27-18 Use of New/Revised Export Certificates, Continuation Sheets and Application for Export covers the acquisition and use of the new Application export forms, and certificates.

FSIS Notice 28-18 – New FSIS Security Paper and Seven Digit Export Stamp for Use with the Export Module of the Public Health Information System covers the acquisition and use of the new FSIS security paper and the seven-digit export stamp for exports processed through the Public Health Information System (PHIS) export module.

The Certifying Official

The FSIS official who signs the completed export certificate is called the certifying official. The certifying official verifies the information on the export certificate by comparing it to the information on the signed (or certified) export application and the country requirements in the Export Library.

The signature (or certification) on the export certificate may be based on information provided to the certifying official. If needed, the certifying official can ask for additional information, either from the FSIS inspector who signed the export application or the exporter.

An important point to understand is that the certifying official may not be directly associated or familiar with the production or inspection of exported product. He or she might be in a different physical location. This means that the certifying official is relying on the in-plant inspector to adequately verify that the product meets the export requirements. Once the certifying official is assured that all information on the export documents is accurate, he or she signs the export certificate(s).

The Export Certification Process

FSIS Directive 9000.1 Export Certification provides a clear set of standards for the District Offices and in-plant inspection personnel (IPP) 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 FSIS 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 Directive 13000.5 provide clear instruction on how to perform export certification in all official establishments and in facilities requesting voluntary services using the Public Health Information System (PHIS). Export certification for casing and egg products are to be completed outside PHIS, following current procedures found in FSIS Directive 9000.2 and FSIS Directive 9000.6 respectively

FSIS began implementing the PHIS Export Component on June 29, 2018, with 16 countries, and then gradually will expand to additional countries.

Phase 1 countries are Afghanistan, Andorra, Bahamas, Bolivia, Burundi, Cape Verde, Cook Islands, Ethiopia, French Guiana, Gambia, Guinea, Liberia, Mozambique, San Marino, Tanzania, Uganda.

Export verification tasks for countries that are not yet in PHIS will not change, will still be available in the task list, and should be performed by IPP as instructed in FSIS Directive 9000.1

This Training module is divided into two sections; section A covers the steps for performing export certification if the importing country is not active in PHIS, and section B covers the steps for performing export certification if the importing country is active in PHIS (Electronic Export)

The verification steps you will need to perform in both situations are identical. The differences between the two situations are that when the importing country is active in PHIS,

- the establishment will submit the export application into PHIS;

- you will access, review, approve, or reject the application through PHIS; and
- you will print the certificate and sign it , then scan it and upload it back to your task. If the importing country accepts digital signatures, the system will provide instructions for doing so.

Section A

Overview - Performing Export Certification If the Importing Country Is Not Active in PHIS

So, how does this process work? Very broadly, there are **three parts** to FSIS export certification:

1. **Verifying the information on and signing the export application (Application for Export Certificate – FSIS Form 9060-6).** This involves checking that the product meets the requirements of the importing country and performing a physical inspection check of the shipping cartons, labels and, if needed, the product being exported.
This part ends with signing the export application. By signing the export application, you verify that you performed the checks described above and found the product met domestic requirements and any additional foreign requirements for export.
2. **Verifying the information on the export certificate (Meat and Poultry Export Certificate of Wholesomeness – FSIS Form 9060-5 or other export certificate as required by the importing country).** This involves comparing information on the export documents (the export application and export certificate) to the country requirements, as well as checking the export certificate is accurate and complete.
This part ends when you have verified that the product for export meets the domestic requirements and country requirements.
3. **Signing and dating the export certificate, and any additional required documents.** By signing the export certificate, you are certifying that the product is eligible for export.

Each of the three steps has multiple parts within it and you need to understand and implement all the necessary parts before completing each certification step. We will walk through the parts required for each step as we complete the export training section.

We will start with the export application, FSIS Form 9060-6, which is referred to throughout the material as the export application.

1- Verifying the Information on and Signing the Export Application (Application for Export Certificate – FSIS Form 9060-6).

Establishment personnel complete and sign the Application for Export Certificate (FSIS Form 9060-6 Application for Export). By signing the export application, the applicant attests under penalty of law that the information is complete and accurate, the product to be exported meets the requirements of the importing country, and that they will supply you with supporting documentation to support these claims. Companies can create a computer generated version of the export application (FSIS Form 9060-6) to facilitate the export process and help eliminate errors. The applicant gives the export application to you for verification.

When you receive a signed export application from the applicant, you will verify that the establishment is eligible to export to the country and the product meets the importing country's requirements.

There are three parts to this verification:

- a) **Verifying that the documentation requirements are met.**
- b) **Verifying the marking/stamping of the product**
- c) **Performing a physical inspection check of the shipping cartons, labels and, if needed, the product being exported.**

We will go through each one in turn, starting with the documentation. Follow along with Figure 1, Application for Export Certificate.

Start by going to the export library to check the importing country requirements.

This is how you get to the **Export Library**:

- go online to the [FSIS Home Page](#)
- on the right side of the page under the “Popular Topics” list, click on [“Export or Import Meat, Poultry or Egg Products”](#)
- in the center of the page under the “International Affairs” header, click on [“Exporting Products”](#)
- scroll down and in the center of the page, click on [“Export Library – Requirements by Country”](#)
- scroll down the page to the “Index of Export Requirements for Meat & Poultry Products” and click on the applicable country name. This takes you to the specific export requirements for the importing country.

All countries which have specific export requirements are in alphabetical order by name. After the country name is the date that the requirements were revised.

Countries not listed in the Export Library

[If a country is not listed in the Export Library](#) FSIS will issue an export certificate (FSIS Form 9060-5 – Meat and Poultry Export Certificate of Wholesomeness) without any additional information provided in the "Remarks" section or on a supplemental certificate.

a. Verifying Documentation Requirements are Met

You are to check the information on the export application using documentation and evidence provided by the applicant for accuracy and completeness, and that the requirements of the importing country as listed in the FSIS Export Library have been met. IPP are to verify the accuracy of statements on the application and supplemental export documents (e.g. letterhead certificate) requiring FSIS signature, when necessary, by requesting appropriate supporting documentation from the applicant.

Three critical parts of this check are to verify that:

- the establishment is eligible to export product to the importing country and
- the product is eligible for export to the importing country.
- the statements on the application and supplemental export documents (e.g. letterhead certificate) requiring FSIS signature are accurate (if applicable)

Start by going to the [Export Library](#) to check specific requirements for the importing country and compare it to the information on the export application.

- 1. Original:** The applicant should have selected this box if the application is original and not a replacement.
- 2. Replacement Application/Reason for Replacement:** The applicant should have selected this box if the application is for a replacement certificate. (For a one-to-one replacement certificate, the applicant select the reason for the replacement. If the replacement is for a split or consolidated certificate, the applicant select the appropriate box (split or consolidated) and the reason for the replacement).
- 3. Certificate Number:** This may be blank or it may contain the export certificate number, depending on the specific export process at the facility. If the establishment doesn't pre-stamp the export certificate numbers on the containers, it will be blank. You need take no additional action. If the establishment does pre-stamp the containers, this box will contain the export certificate number. That's because the establishment needs the export certificate number in order to complete the pre-stamping process. In some facilities, the establishment is given the blank export certificate at the same time as the export application. In other facilities, only the export certificate number is written in this box and the blank export certificate is kept under FSIS control until the completed and signed export application is given to you. In either case, ensure that the number written matches the number printed on the export certificate.
(The certificate number from the FSIS 9060-5 Meat/Poultry Export Certificate of Wholesomeness, FSIS 9060-5EP, Egg Products Export Certificate of Wholesomeness or FSIS Form 9060-5S, Siluriformes Fish and Fish Products Export Certificate of Wholesomeness)
- 4. Shipment Type:** The type of shipment to be certified.
- 5. Date of Request:** Include the Month, Day, and Year.
- 6. Country of Destination:** The common country name.
- 7. Country of Final Destination:** The applicant should have entered the country of final destination, if that country is different from the Country of Destination in block 6 and a letterhead/additional certificate is required by the Export Library.
- 8. Consignor/Exporter:** The name and address (street, city, state, and zip code divided by commas and on separate lines in the field) of the person or entity applying for the export certificate. If desired, the applicant can also include a phone number and email address.
You verify that the applicant name and address is accurate and complete. The FSIS inspected facility should ensure that the company name and address match the information in the MPI Directory of Official Establishment Number

9. Consignee/Importer: The name and address (street, city, state/province, zip code, (as appropriate) divided by commas and on separate lines in the field) of the person or entity to whom the consignment is shipped in the country of destination. If desired, the applicant can also include a phone number and email address.

10. Export Est. No.: The number of the establishment exporting the product. You are to verify if the exporting and/or producing establishment is eligible to export product to that country.

- Is the exporting establishment eligible to export product to that country?
You are to verify if the exporting and/or producing establishment is eligible to export product to that country. For example some countries such as Australia and Russia require the establishment that want to export their product to them to preapproved in advance via submitting FSIS 9080-3 application, this application needs to be submitted by the establishment or their Proxy into PHIS regardless to if the country active in PHIS or not. In PHIS, the application will be routed for approval in administrative order to the IIC (CSI, or PHV), FLS, District Manager, and then to the Office of Policy and Program Development, Import/Export Coordination and Policy Development Staff (IECPDS). Depending on the country IECPS, either click approve or received. As an example, for Australia, IECPS can click immediately approved, while for other countries like European countries and Mexico, IECPS will click received until it is approved by that particular country. This process may take several weeks to months (EU and Mexico). Finally, when the 9080-3 application is approved, the establishment will be included in the eligible plants list.
- Did the product move through an area or state that has restrictions?
For example, was there a low pathogenic avian influenza (AI) outbreak that resulted in a ban export of poultry grown in or transiting through that area?

11. Export Mark to Be Used: The applicant should have selected either the USDA Export Mark, or Unique Identifier. If Unique Identifier is selected, the applicant should have entered the UI number in the adjacent field.

12. Description of Product, including Product Code: The labeled name of the product (commercial description) as it is to appear on the export certificate, and the unique product code associated with the product if desired.

You are to verify that the product(s) to be exported meet the country requirements. You will need to look in multiple sections of the country requirements to make this determination. Check:

- Is the product eligible to be exported to that country? For example:
 - does the country ban importation of sheep and goats, or bone-in beef, or ground meat?
 - does the country require Halal certification?
- If the product must be produced or sourced from an approved AMS Export Verification (EV/QSA) program;

- if the country requires an AMS EV/QSA program for the product, check that the EV program requirements are met. This includes checking that product codes and product descriptions appear exactly the same as listed on Partner Web and in the Quality Systems Assessment (QSA) manual (more detailed information on EV programs are in the EV/QSA Program section covered later).
- What is needed for required labeling elements;
 - for example, are bilingual or foreign language label required?
 - information needed to verify certain labeling requirements may be in the “Processing Requirements” and/or “Other Requirements” and/or Labeling Requirement sections.
- What export documentation is required
 - does the importing country require export certificates specific to that country, rather than the standard FSIS Form 9060-5? In some cases, FSIS has developed a country-specific export certificate of wholesomeness that replaces FSIS Form 9060-5. For example, meat and poultry exported to Canada are certified on FSIS Form 9135-3, and poultry products exported to Russia are certified on FSIS Form 9450-4.
 - are animal health certificates or letterhead certificates required in addition to the primary export certificate?
- Are processing requirements are met (if applicable). For example:
 - do certain products have specific time/temperature heat treatment requirements or is there a retained water requirement?
 - are there additional sanitary or residue testing requirements?
- Are facility requirements are met (if applicable)
 - for example, is the use of hyper chlorinated water limited or are certain sanitizers required?
- What/if there are other requirements (in the Additional Requirements section)?
 - for example, is there a prohibition on using carcass sprays or are additional animal production practice certificates required?

13. HACCP Cat.: The HACCP category code for each lot of product on the application.

14. Species: The species of the product (If the product contains multiple species, applicant to enter the primary species of the product).

15. Maturity less than 30 mos.: This is required for all beef products (Applicant should have entered “Y” if the products came from animals whose age at time of slaughter was less than 30 months, or “N” if the products came from animals whose age at time of slaughter was 30 months or older).

16. Frozen/Shelf-Stable: Applicant should have entered "Y" if the product is frozen or shelf-stable or "N" if the product is not frozen or shelf-stable.

17. Net Weight of Lot: Applicant should have entered the net weight of each lot in pounds or kilograms, or pounds and kilograms. (For pounds only, the weight with "lbs" following the number, for kilograms only, the weight with "kgs" following the number, for pounds and kilograms, the pound weight with "lbs" following the number, then below the pound weight in the same box, the kilogram weight in with "kgs" following the numbers in parentheses.

You are to check whether the country requires lot weights in metric or pound or ounces measurements. The labeled net weight is required to be expressed in pounds or ounces and the method of expressing units on the export application and export certificate usually follows the label method.

If the importing country requires metric units on the application and certificate, the applicant must provide you with details of the conversion to metric (for example, the conversion factor and formula used). FSIS recommends that applicants use a four decimal conversion factor. Marked weights cannot be listed as an estimate.

18. Number of Packages in Lot: The applicant must indicate the number of boxes that will be stamped with the export certificate

19. Type of Packages in Lot: The type of packages in lot.

20. Shipping/Identification Marks: If shipping/identification marks are required by the importing country as indicated in the Export Library, those listed on the application should match those on the certificate.

21. Est. No. on Product: The establishment number marked on the shipping cartons of the product intended for export.

22. Total Net Weight: The total net weight in pounds or kilograms, or pounds and kilograms from all lots in the consignment to be certified.

23. Total Number of Packages: The total number of packages from all lots in the consignment to be certified.

24. Additional Statement: the applicant should have entered additional statement(s) if required by the export library to appear in the remarks section of the export certificate of wholesomeness. This also includes replacement certificate statements for all original certificates generated in paper-based system outside of PHIS.

25. Applicant Signature: Signature of person listed in block 26.

You are to verify that the applicant has signed the completed application. This signature means the applicant confirms that the information on the application is complete and accurate.

26. Printed Name: Printed name of person in block 25.

27. Date: Include the Month, Day, Year (Example 10/07/2018).

28. Certifying Official's Signature and Title: Signature and title of certifying official.

29. Printed Name and Title: Printed name and title of certifying official in block 28

30. Date: Include the Month, Day, and Year.

Continuation Sheets:

- I. Continuation Sheet for Application for Export Certificate: The continuation of the product grid.
- II. Continuation Sheet for Application for Export Certificate: The continuation of the remark section.

b. Marking/Stamping the Product

You are to be aware that the applicant may apply the export mark through various methods. These methods may include the use of the rubber export stamp, the use of a computer-generated export mark (pressure-sensitive one-time use stickers), or the application of an export mark by direct printing (i.e., inkjet application) to the box.

Export stamps are accountable items. Keep them in a secure place, accessible only by FSIS personnel. When you issue an export stamp to establishment personnel, there must be a method to record which stamp was issued, to whom it was issued, when it was issued, and when it was returned. Whatever method is used, you must record this information each time you issue an export stamp. When you return to your duty station, find out how export stamps are controlled.

When export stamps wear out or are damaged such that they are not legible, destroy the stamp and document that the stamp was removed from service. Order new export stamps from the Materiel Management Service Center (MMSC). As with the blank export certificates, you will need to sign and return the Accountable Items forms when you get the new stamp.

Stamping

After issuing an export certificate and USDA export stamp to the exporter (applicant) the exporter may apply the stamp to the following units of the consignment, depending on the foreign country's requirements listed in the FSIS Export Library:

1. Each outside container within a consignment (default method unless option two or three below are specifically allowed according the [FSIS Export Library for that country](#));
2. A securely enclosed pallet or pallets within the consignment (e.g., shrink-wrapped or other effective means); or
3. The closed means of conveyance transporting the consignment (e.g. truck, rail car, or ocean container).

If the FSIS Export Library does not state that the importing country accepts pallet or conveyance export stamping, do not to allow the stamp to be applied in this manner. Follow the guidance laid out in FSIS Directive 9000.1.

Verify that the USDA export stamp—whether applied to each outside container, a pallet, or the closed means of conveyance—links the consignment to the corresponding export certificate.

Computer Generated Stamp

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 IPP with any unused stickers. The export sticker must also be equal in size to and an exact impression of the FSIS rubber export stamp. They must not be printed until authorized by the inspector and must be based on an assigned export certificate number. It must be applied in such a manner that prevents the possibility of re-use of the stickers. It must be legible and placed in such a manner as to be visible when the product is palletized or presented for export verification,

Common Export Sticker Errors

- ⊗ Export stickers are not self-destructive and fall off the boxes without tearing or compromising their physical integrity.

Export stamps and stickers cannot be left in the establishment's possession overnight or over the weekend. They can only be used when you are on duty. Before going off duty, you must secure the stamps or stickers when your inspection duties are done for the day. All unused stickers must be given to FSIS at the end of the stamping process.

Direct Inkjet Printing of the Export Mark to the Carton or Container.

Direct inkjet printing of the export mark to the carton or container is allowed, and you are to verify that the inkjet mark is equal in size and an exact impression of the FSIS rubber export stamp in [9 CFR 312.8](#), [9 CFR 381.104](#), or [9 CFR 590.407\(e\)](#). The export mark should not be printed on the cartons or containers

until authorized by you. The export mark should only be applied in the quantity needed for application to the consignment, and the establishment should notify you in advance of the quantity of cartons or containers to be printed. Applying the export mark to the cartons or the containers should be done under the supervision of a designated, responsible plant employee. It should be legible and placed in such a manner as to be visible when the product is palletized or presented for export verification. You are to verify that all extra cartons or containers containing the inkjet export mark are either destroyed or the export mark is removed or completely and permanently covered or defaced to where no parts of the mark are visible.

Pre-stamping

Under some conditions, establishments can pre-stamp the product. Pre-stamping is when the establishment stamps the boxes and completes the export certificate when you are not present. The application of the export mark, stickers, or inkjet export marks should be performed during the establishment's hours of operation. Establishments requesting to pre-stamp products intended for export are to have a written pre-stamping program approved by FSIS. 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. The establishment must return the stamp 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. If the establishment fails to follow its pre-stamping program, IPP are to suspend the establishment program and document their finding in a MOI.

Common Pre-Stamping Errors:

- ⊗ No export stamp on the boxes designated for export. Even one box missing the stamp will cause a problem
- ⊗ Export stamp number on the boxes doesn't match the export certificate number.

Unique Identifier (UI)

A UI is an alternate export mark that may be used for export consignments instead of using the standard USDA export mark that contains the export certificate number. The UI may be any combination of numbers or letters. IPP are not to certify export consignments marked with a UI unless the importing country allows containers to be marked with a UI instead of the standard USDA export mark, and the acceptance of UI marking is specifically noted in the FSIS Export Library.

The applicant should link the UI to the corresponding export certificate by including the following statement in the remarks section of the export certificate or on FSIS Form 9060-5B (remarks continuation page):

“The products covered by this certificate are marked with the Unique Identifier X#X#X#X#X#XX#X#.”

c. Performing a Physical Inspection of Shipping Containers and Product

Verify that the shipping containers, labels and product are eligible for export. You do not need to perform export verification activities on the entire shipment. You are to use good judgement in coordination with supervisory instructions, as well as take into consideration the history of any export related issues associated with the exporting establishment to determine the amount of product you are to perform export verification activities on. You are to record the amount of product which you verified on the FSIS copy of the 9060-6, Application for Export. For example, verified 5 of 20 pallets, or verified 100 of 1000 boxes.

- Check the condition of the product by doing a physical check of the product containers, labels and condition (for example, fresh or frozen product).
- Verify the shipping containers and product(s) is (are) correctly labeled.
- Verify manufacturing dates are on the container (if required).
- Verify bilingual or foreign language labels, if required, are accurate and have only approved label wording.
- Verify 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.
- Verify the container weights match the weights listed on the export application.
- Verify the number of containers for export match the numbers on the export application.
- Verify the Shipping/Identification Marks match what is required by the importing country as indicated in the Export Library, and with what listed in the application (if applicable).
- Verify the producing establishment number is listed for each product being exported, matches the number on the export application, and matches the number(s) on the containers.
- Look for signs that the product may be unwholesome or adulterated, such as insanitary handling or storage, off-condition, odor, torn and/or damp cartons, blood or fluid from frozen product.

Re-inspection of Product for Export

The purpose of re-inspection is to verify the product's safety, wholesomeness, identity, and eligibility for export. Re-inspection may include verifying the identity of the product, examination of the shipping cartons to observe for signs that the

consignment is adulterated or unwholesome such as off-condition, odor, temperature abuse, torn packaging, damp cartons.

Producing Establishments

At the official establishments you are not required to conduct re-inspection of product for shipments exported directly from the producing establishment. Product re-inspection is not required because at the producing establishment you have knowledge of the establishment's procedures for ensuring the safety and wholesomeness, of the product. However, you are to perform product re-inspection if you have reason to question the identity, soundness of the product, or whether the products are properly labeled to meet FSIS regulatory requirements.

Non-Producing Establishment, such as an ID Warehouse or Cold Storage Facility

Re-inspection is required when an applicant applies for an export certificate after a consignment has moved from the producing establishment to a non-producing establishment, such as an ID warehouse or cold storage facility. The establishment can develop a written program that does not require FSIS re-inspection of each container. This program should consider the establishment's export history compliance, identify the criteria for determining when products will be re-inspected, and identify the number of pallets and packages that will be inspected when re-inspection is required (e.g., one pallet verified for every 10 presented, or 10% of consignment). When an establishment develops a written program for re-inspection, you are to review and verify that the program is adequate, discuss the program with your supervisor, and inform the establishment management that failure to follow their written program may result in a suspension of the re-inspection program.

If you find signs of poor handling and storage that cause a food safety concern while conducting the organoleptic examination of the shipping cartons at any FSIS-inspected establishment, you are to

- Randomly select a representative sample up to five percent of the boxes or containers from the entire shipment, for an in-depth product examination.
- Request that establishment management personnel open the selected boxes or containers in a manner that will not create insanitary conditions or lead to product adulteration. In an establishment not under continuous FSIS inspection (non-official establishment such as ID Warehouse or cold storage facility), the selected sample of boxes or containers may be moved to a facility where they can be opened in a sanitary environment if a proper area cannot be found within the non-official establishment;
- Request the establishment management to temper or thaw all individual packages in the randomly selected boxes or cartons under sanitary conditions when product is frozen;
- Re-inspect the product for soundness and wholesomeness;

For canned products, follow instructions in [FSIS Directive 7520.2](#), Procedures for Condition of Canned Product Container Examination.

If the establishment refused to allow product re-inspection, you are to reject the export application and are to retain the product and issue a NR and inform your supervisor of the situation.

If the product is found to be unsound or unwholesome, do not sign or approve the application, document a noncompliance in PHIS under the appropriate task citing the pertinent regulation, issue a NR, Retain the product, and notify your DO through your supervisory channels.

If the product is found to be sound and wholesome, you are to permit the product to be re-packaged in a sanitary environment and proceed with the export application approval process.

After checking the Export Library and the product, if you believe that products listed on the application are not eligible for export to the country listed on the application, the regulatory control is to not sign the export application (FSIS Form 9060-6). Discuss your concerns with the exporter. Then, write an MOI detailing your discussions and whether your concerns were addressed adequately. Give a copy of the completed MOI to the exporter and file a copy in the USDA file.

Complete the first part of the export certification process by signing and dating the verified export application.

Sign and date the application (with that day's date) under the following conditions:

- the information on the application is correct and it is signed
- the country requirements are met
- there is no reason to conclude that the product is mislabeled, ineligible for export to the listed country, adulterated, or unwholesome

After signing and dating the application:

1. Keep and file a copy of the application and any accompanying documents
2. Give the originals to the applicant
3. Give the appropriate blank export certificate (FSIS Form 9060-5) to the applicant/exporter. Make sure the certificate number on the export application matches the certificate number on the export certificate. The applicant will complete the export certificate following the completion instructions that are available from the FSIS Export Library page.
4. Write the export certificate number in box 3 on the application if it wasn't already written.

This brings us to the second part of export certification – verifying the information on the export certificate.

2. Verifying the Information on the Export Certificate

Meat and Poultry Export Certificate of Wholesomeness – FSIS Form 9060-5 or other export certificate as required by the importing country

Once you finished verifying the information on the export application, the next step is to verify the information on the export certificate. The applicant will complete export certificate (*FSIS Form 9060-5 or country-specific certificate*) and any additional certificates needed by the importing country. The applicant will give the completed application and certificate(s) to you or to an FSIS Public Health Veterinarian, if it needs a veterinary signature.

Issuing the blank export certificate.

FSIS has revised the FSIS Form 9060-5 and FSIS Form 9060-5S, so that the data fields better align with international standards as well as to accommodate additional information from the updated application for export.

The new FSIS Form 9060-5 export certificates begin with the MPM series. The new FSIS Form 9060-5S export certificates begin with the CFB series. The new FSIS Forms 9060-5 and 9060-5S, 9060-5A, and 9060-5B are dated June 29, 2018.

Export certificates have four parts and each has a unique number printed in the upper right corner. Order them from the Materiel Management Service Center (MMSC). When you get the blank export certificates, you will have to check the certificate numbers against the number listed on the Accountable Items form. Once you've verified that the numbers match, you sign the Accountable Items form and return it to the Materiel Management Service Center.

Because blank export certificates are accountable items, you must maintain an accurate inventory record of export certificates issued to and voided at each establishment. Keep them in a secure place, under official government lock or seal when not in use.

All previous editions of the export certificate of wholesomeness are obsolete and are not to be used for any meat (including Siluriformes fish) or poultry exports dated June 29, 2018 or beyond. You will need to dispose of or return the obsolete export certificates following the guidance in FSIS Notice 37-18.

When you give a blank export certificate to establishment personnel, you need to record the number of the certificate, what country it's for, and when it was issued. You can do this in a number of ways, such as a log book or individual pages for each country. When you get back to your duty station, find out how export

certificates are stored and recorded. See the graphic below for an example of an inventory record. (Figure 2)

INVENTORY OF ACCOUNTABLE ITEMS					EST. NO.	ACCOUNTABLE FORM NO. OR ITEM		
ITEM IDENTIFICATION OR FORM SERIAL NO(s), 1/	PRODUCT	NET WEIGHT	SHIPPER OR EXPORTER	CONSIGNEE	DESTINATION	SIGNATURE OF INSPECTOR	DATE	BEGINNING INVENTORY OR BALANCE ON HAND

Figure 2, Example inventory record

FSIS Form 9060-5 is the generic export certificate issued for most countries, however, some countries require a country-specific dedicated export certificate. For example, Canada requires meat and poultry products be certified on FSIS Form 9135-3, and Russia requires poultry products be certified on FSIS Form 9450-4. Consult the country requirements in the Export Library for complete certification information. For countries that do not use FSIS Form 9060-5, such as Canada and Russia, you are to continue certifying exports for meat and poultry using the designated form. FSIS Form 9060-5A and 9060-5B are not to be used as continuation pages for countries that do not use FSIS Form 9060-5.

FSIS Form 9060-5EP, *Egg Products Export Certificate of Wholesomeness*, has not changed. FSIS will continue issuing the current paper version of FSIS Form 9060-5EP for all egg product exports following current procedures. However, FSIS Forms 9060-5A and FSIS Form 9060-5B, are to be used as necessary for the continuation of the associated FSIS Form 9060-5EP.

There are three parts to verifying the export certificate information, all done by the certifying official:

- a. **comparing the information on the export application to the export certificate.**
- b. **checking the information on the export certification against the country requirements in the Export Library.**
- c. **checking additional and/or letterhead certificates, if required, meet country requirements.**

So, what does the certifying official verify on the export certificate(s)? We will walk through each step in the verification process, using a copy of the export certificate (see Figure 3).

Refer to the export application section for detailed information about verifying product and establishment eligibility.

Compare the information on the export certificate to the information on the export application. Ensure it is accurate and matches the export application.

- check the consignee name and address
- check that the consignee address is in the same country listed in the “Country of Destination” box
- check the printed export certificate number match the export certificate number in the export application
- check the Est. Number and City are correct
- ensure the correct boxes are checked

Common Export Certificate Errors

- ⊗ The establishment address does not exactly match the address listed in the “Eligible Plant List” webpage linked to the Export Library (Eligible U.S. Establishments by Country)

Check that the total net weight equals the combined marked weight of each individual product.

Check that total container number equals the combined number of packages in the lot.

Compare the information on the export certificate to the information on the export application. Ensure it is accurate and matches the export application.

- check product names and code numbers (if applicable)
 - Export Library – check that the product is eligible to export to the designated country
- check marked weights for each product
 - weights should be in pounds
 - metric weights (if required) should be in parentheses after pound weights
- check number of containers of each product
 - an increase in the number of containers requires a new application

Common Export Certificate Errors

- ⊗ The number of boxes listed on the export certificate is greater than the number of boxes listed on the application for export certificate.
- ⊗ The total marked net weight listed on the export certificate is greater than the total of marked weight listed on the application for export certificate.
- ⊗ The marked weight of lot is greater than can be contained in the number of packages in the lot.

- check the shipping marks/company seal numbers (if applicable)
 - Export Library – check if the importing country requires shipping marks, company seals, or transport vessel numbers
- check the establishment number on the product
 - Export Library – check that the establishment is eligible to export to the designated country

Verify that only the required remarks are in the Remarks section or on the remarks continuation page, FSIS Form 9060-5B.

- check the Export Library for any required remarks
- required remarks must exactly match statements listed in the Export Library
- leave blank if no required remarks are listed in the Export Library
- check that the remarks are applicable to the product exported

Common Export Certificate Errors

- ⊗ The establishment adds statements to the “Remarks” section of the export certificate not specifically authorized in the Export Library.

Check the appropriate box(es) indicating that the animal received ante- and post-mortem inspection.

Additional and/or Letterhead Certificates.

The country requirements in the Export Library will show if the importing country needs additional certificates. These additional certificates, supplemental documents, are usually hyperlinked in the Export Library, so clicking on the hyperlink will take you to the certificate. In addition to the certificate, there may also be instructions for completing the additional certificate. The applicant is

responsible for correctly completing any additional required certificates. You should get them at the same time as the completed export application and completed export certificate.

Not every country requires additional certificates and some countries require multiple certificates. Transit certificates may be required if the exported product is entering another country on its way to the final destination. Some countries require animal health certificates. Statement of verification (SOV) letters are a specific type of additional certification required by some countries as part of an export verification (EV) program. We will look at verifying EV/QSA programs separately. In some cases, USDA/FSIS letterhead certification is necessary and is issued for certain products when specified in the individual country requirements.

You can find this information in the Export Library. If the exporter submits a letterhead certificate along with the export certificate, verify that:

- the submitted letterhead certificate is the current version found in the Export Library
- there were no statements changed on the letterhead certificate
- the letterhead certificate is dated by the exporter
- any certification required by another USDA Agency (e.g., AMS) is provided with the completed letterhead

Only sign additional or letterhead certificates that are specifically identified as Required in the Export Library country requirements.

Common Export Certificate Errors

- ⊗ Different certifying officials sign the export certificate and supporting documents (e.g. letterhead certificates).
- ⊗ There are different signature dates on the export certificate and supporting documents (e.g. letterhead certificates).

After reviewing the documents and **before signing the certificate:**

- Check the certificate for accuracy and corrections.
- Check for attachments and ensures that the exporting firm has lined-out any unused space.
- 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 correction tape or fluid. It is best to reissue the certificate if there are errors to reduce the chance of delays or rejections of the shipment.

Now we come to the final step in the export certification process:

3. Signing and Dating the Export Certificate, and any Additional Required Supplemental Documents.

Sign and date the original certificate, continuation sheets, and other certifications, including letterhead certificates.

- use any color **other than** black ink, unless a specific color is required in the Export Library
- if the importing country requires a PHV signature, include his or her professional degree
- date the certificate for the day it was signed

Common Export Certificate Errors

- ⊗ Export certificate is first signed in black ink and then the signature is overwritten in blue ink.
- ⊗ Ineligible products are certified for export.
- ⊗ Product shipment dates precede the export certificate certification dates.

Do not stamp the export certificate or required supplemental documents with the export stamp unless it's required by the 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 export application, export certificate or any other certificates, including letterhead certificates. Contact the inspection program employee who signed the application, the exporter, or the Import/Export Coordination and Policy Development Staff at (800) 444-9904 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.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0583-0153. The time required to complete this information collection is estimated to average 25 minutes per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

**U.S. DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE**
Meat and Poultry Export Certificate of Wholesomeness

A knowingly false entry or false alteration of any entry on this certificate may result in a fine of not more than \$10,000 or imprisonment for not more than 5 years or both (18 U.S.C.1001). Additional penalties exist under the Federal Meat Inspection Act [21 U.S.C. 611(b) (1), (2); and (5), 21 U.S.C. 461] for an unauthorized or false alteration or misuse of this certificate.

1. COUNTRY OF DESTINATION _____ 2. ISO CODE _____

5. CERTIFICATE NUMBER **MPM-** 6. CERTIFICATE TYPE
 ORIGINAL
 REPLACEMENT

3. CONSIGNOR/EXPORTER (Applicant's name and address) _____ PRODUCT EXPORTED FROM: _____
 7. EXPORT EST. NO. (Name and address) _____

4. CONSIGNEE/IMPORTER (Name and address) _____

8. TOTAL NET WEIGHT _____ 9. TOTAL NO. OF PACKAGES _____

10. DESCRIPTION OF PRODUCT (Name of product)	11. NET WEIGHT OF LOT*	12. SPECIES	13. NUMBER OF PACKAGES IN LOT*	14. TYPE OF PACKAGES IN LOT*	15. SHIPPING/ IDENTIFICATION MARKS*	16. EST. NO. ON PRODUCT

* As stated by applicant or contractor

17. REMARKS _____

18. I CERTIFY that the meat, meat food product or meat byproduct specified hereon is from animals that received both antemortem and postmortem inspection and were found sound and healthy and that it has been inspected and passed as provided by law and regulations of the Department and is sound and wholesome.

19. I CERTIFY that the poultry, poultry products or poultry food products specified above came from birds that were officially given an antemortem and postmortem inspection and passed in accordance with applicable laws and regulations of the United States Department of Agriculture and are wholesome and fit for human consumption.

NOT VALID UNLESS SIGNED BY A CERTIFYING OFFICIAL OF MEAT AND POULTRY INSPECTION PROGRAM

By order of the Secretary of Agriculture  20. CERTIFYING OFFICIAL'S NAME AND TITLE _____ 21. DATE SIGNED (MMDDYYYY) _____

This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained.
 This certificate does not excuse failure to comply with any of the regulatory laws enforced by the United States Department of Agriculture.

FSIS FORM 9060-5 (05/29/2018) ALL PREVIOUS EDITIONS OBSOLETE ORIGINAL

Figure 3, Export Certificate, FSIS Form 9060-5

Replacement Certificates

The IPP are to issue a replacement certificate and the FSIS certifying official is to date the replacement certificate with the current date when signing the certificate.

Time Limits. An IPP is to issue a replacement certificate without any further re-certification if the exporter makes the request for the replacement certificate within ninety days if the product on the certificate is not a frozen or a shelf stable product. If the product is either a frozen or a shelf stable product, the exporter has 364 days to request a replacement certificate.

Reasons for 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:

- The original certificate did not carry required information
- The original certificate carried incorrect information
- The name of the consignee or exporter has changed
- The certificate has been lost or damaged
- The destination has changed a replacement certificate can be issued, provided the new destination does not have an existing AMS EV Program for that product. This information can be found in the Export Library.

A new export application (FSIS Form 9060-6) is submitted by the exporter to request a **replacement** export certificate (FSIS Form 9060-5) 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. You should attach the superseded certificate to the inspector's copy of the replacement certificate and file it in the government office.

You are to process all replacement applications and certificates in the same manner they process original applications and certificates as described in this directive. You are not to approve a replacement certificate request where the package count or the weights are more than the amounts listed on the original certificates. All replacement certificates are to contain the current date (i.e., the date IPP sign the replacement certificate).

If an original certificate has not been signed, and a new certificate is required in place of the original certificate (e.g., because of clerical error, print misalignment, paper damaged, etc.), the date of reference used in the replacement statement in the remarks section of the new certificate should be the current date which the new certificate is signed. This only applies when the export shipment is already marked with the original certificate number. If the export shipment does not contain the export mark, the original export certificate is to be voided and maintained in government file and a new export certificate is to be issued. The

export shipment is then to be marked with the number of the new export certificate.

IPP are not to approve an export certificate for a consolidated or subdivided (split) shipment if the applicant does not return the original export certificate and all copies. A letter for a lost original certificate is only sufficient for IPP to approve a one to one replacement certificate.

If an establishment wishes to split a shipment with stamped pallets or conveyance into multiple shipments, or consolidate the shipment into another shipment, and the original pallet or conveyance stamp no longer links the shipment to the certificate, you are to treat the **split or consolidated shipment** as a new consignment. The exporter is to submit a new application for export certification, and apply a new export stamp that links the split or consolidated consignment to the export certificate. Verify that all of the importing country's requirements have been met as listed in the FSIS Export Library.

Remarks. For all replacement export certificates, IPP are to verify that all previous certificate numbers and associated dates appear in the "Remarks" section of the most current certificate as follows: "This certificate replaces certificate no. *<insert original certificate number(s)>* dated *<insert date(s) of the original certificate(s)>*. The export mark on the product covered by this certificate shows certificate no. _____." See the following examples:

Example 1 (single replacement): "This certificate replaces certificate no. MPK-123456 dated 11/1/2012. The export mark on the product covered by this certificate shows certificate no. MPK-123456.";

Example 2 (series of replacements): "This certificate replaces certificate no. MPK-234567 dated 12/01/2012, which replaced certificate no. MPK-123456 dated 11/01/2012. The export mark on the product covered by this certificate shows certificate no. MPK-123456.";

Example 3 (consolidation): This certificate replaces certificate nos. MPK-123456 dated 11/01/2012 and MPK-234567 dated 12/01/2012. The export mark on the product covered by this certificate shows certificate nos. MPK-123456 and MPK-234567."; or

Example 4 (subdivision/split): This certificate replaces certificate no. MPK-123456 dated 11/1/2012. The export mark on the product covered by this certificate shows certificate no. MPK-123456.

Certifying Products under Export Verification and Quality System Assessment (EV/QSA) Programs

Certain countries require exporting facilities to meet very specific additional requirements for the way in which meat and poultry products are produced. Only facilities and products which meet those specific requirements are eligible to export products to that country. These requirements are met through an Export Verification (EV) Program or a Less Than 30 Months of Age Verification Quality System Assessment Program (QSA LT-30), called EV/QSA programs. Instructions related to these programs can be found in FSIS Directive 38-14, dated August 13, 2014. Export Verification training is available on the FSIS website at <https://www.fsis.usda.gov/wps/portal/fsis/topics/inspection/workforce-training/regional-on-site-training/export-verification>. FSIS employees must complete the Export Verification course in AgLearn.

The Agricultural Marketing Service's (AMS) Grading and Verification Division administers the USDA, AMS, EV/QSA programs. The Grading and Verification Division is responsible for reviewing and approving companies as eligible suppliers of meat and poultry products under the USDA, AMS, EV/QSA programs and for maintaining approved supplier lists and approved product lists provided by the company, when required by the individual countries. The EV/QSA programs outline the specified product requirements for individual countries.

Establishments which wish to export product to countries that require an EV/QSA program must request approval from AMS to participate in that EV/QSA program. Establishments must pass an initial audit to get AMS approval. Establishments must also maintain a copy of all EV/QSA program audit reports, which are subject to FSIS review, and discuss the audit reports with IPP before their first EV/QSA export.

In situations where a supplier and fabricator are separate establishments, the fabricator is to maintain a list of establishments that are approved EV/QSA suppliers, as required by AMS. In addition, AMS requires that the fabricator maintain a list of products that each EV/QSA supplier is approved to provide under its approved EV/QSA program.

You need to be aware of the location and contents of the establishment's approved EV/QSA program Quality Systems Assessment (QSA) Manual to verify export requirements relating to proper execution of the program. The QSA Manual has a list of products intended for export approved under the EV/QSA program. The list includes all items that are intended for export, the specific product code numbers, and a detailed description of each item. Maintaining this information is an AMS requirement as part of an approved EV/QSA program. All these establishment records are subject to FSIS review as part of the approved EV/QSA program.

You can ask establishment management if they have an AMS-approved EV/QSA program during the weekly meeting or by looking on the AMS web site that lists approved establishments.

This is how you get to the AMS web site:

- go online to the [FSIS Home Page](#)
- on the top right side of the page at the Search FSIS Window **Enter AMS and click on the magnifying glass**
- in the center of the page, click on “[Countries with Approved Export Verification \(EV\) Programs](#)”
- in the center of the page, click on the hyperlink for the appropriate species EV program – for example: “[LS Bovine EV Programs](#)”
 - this opens the AMS web page titled “[Bovine, Ovine and Caprine Export Verification Programs](#)”
 - scroll down the page and click on “[Official Listing of Bovine Export Verification Programs – PDF file](#)”
 - review the PDF file that lists the AMS-approved suppliers
- alternatively, scroll down and click on the country name then click on the AMS link in the country requirements

To review the specific EV/QSA program requirements that establishments must meet to be AMS-approved:

- stay on or return to the AMS web page for the appropriate species or country EV/QSA program – for example: “[LS Bovine EV Programs](#)”
- scroll down the page and click on appropriate hyperlink at the bottom of the page, listed under the following header: “The following Procedures outline the specified product requirements for individual countries:”
- there may be additional EV/QSA program information, including “SRM-free Bovine Inedible Raw Materials – PDF file”. Review as needed.

Common EV/QSA Program Errors

- ⊗ IPP do not review the QSA or AMS annual audit report

If AMS delists an establishment, the District Office will receive notification of the delisting. The DO will notify the affected FSIS in-plant personnel. Export library may be updated to reflect the delisting of the establishment.

1- Application for Export Certificate – FSIS Form 9060-6

The method you use to certify product for export under an EV/QSA program is the same as you perform for non-EV/QSA program export certification. The difference is that you will need to verify some additional requirements when certifying exports for countries with an EV/QSA program.

So, to recap, the first part of checking the export application is the same:

- check if the application is an original or “Replacement Certificate”
- check the export certification number (if present)
- check if the applicant information is accurate
- check the country of designation
- check the exporting establishment number is listed
- check the District number of the exporting facility is accurate
- go to the Export Library to check establishment and product eligibility

This is the point at which you will also check if the product to be exported must be produced under an EV/QSA program.

Overview of EV/QSA program verification

Here are the additional steps that you must take to verify that product exported under an EV/QSA program meets the country requirements:

1. Check that the official facility has an AMS-approved EV/QSA program for that country
2. Check that the official facility is eligible to export product to that country
3. Check that any additional product suppliers are eligible to export product to that country
4. Check that the non-official facility (ID warehouse, cold storage facility) is eligible to export product to that country
5. Check the product is eligible for export to that country
6. Check the product codes (if necessary) are approved for export to that country
7. Check if the country requires a Statement of Verification (SOV) for the exported product
8. Check that the applicant supplied a copy of the SOV with the completed export application, additional certificates (if needed) and completed export certification when presenting for IPP signature
9. Check if the supporting documents such as the lab sampling results (if applicable) are available.

Not all countries will require all these steps. In addition, not all establishments are required to have an AMS-approved EV/QSA program to export products.

There may be specific EV/QSA program requirements for the supplier, for the exporting facility, and for the product being exported. You have to carefully read the country requirements in the Export Library to determine which ones to do for each export you certify.

Statement of Verification (SOV) requirements

In some cases, as part of its EV/QSA-approved program, the establishment must obtain an SOV for Export from AMS. The SOV confirms that AMS conducted a review of the required documents and slaughter and processing establishment information as listed on the export application and export certificate. It also confirms that AMS determined that the items listed were eligible items approved for export to the country listed on the certificate and from the facilities listed.

The exporting facility must obtain the SOV confirming that the EV program met the country requirements and that the products are eligible for export, before the FSIS certifying official signs the completed export certificate.

Establishments that need to obtain an SOV for Export must contact AMS directly, using the procedure put in place by AMS. Information about the procedure to obtain SOVs for Export and a list of countries that require an AMS SOV for Export are provided in the AMS document titled "[Export Verification \(EV\) Programs Additional Requirements](#)".

Common EV/QSA Program Errors

- ⊗ The product codes or description do not match the approved product list
- ⊗ The statement, "Product meets the EV requirements", is not included in the Remarks section of the application form when required

Verifying product codes in Partner Web. Partner Web is the site within the FSIS Intranet site that holds the detailed information you need to verify that specific products are eligible for export to countries with EV/QSA programs. The Partner Web site is only for approved FSIS and AMS personnel to verify export certificates for beef and ovine products. It can only be accessed by using your eAuthentication password on the FSIS Intranet.

- Click on the "[FSIS' Intranet site](#)" hyperlink.
 - Sign into the FSIS Intranet using your eAuthentication password. This takes you to a page titled "Importing and Exporting", sub-titled "Bovine and Ovine Export Programs". You may see this site referred to as "Partner Web"
 - Click on "List of Approved Exportable Products by Establishment"

- scroll through the document and find the relevant establishment number
- click on the “Product List Link”
 - scroll down the list to find the relevant Product Name, Product Code and Description. Verify that the specifically identified product is eligible for export to the applicable country

It is important to understand that all the information in this area is confidential. It must not be printed or shared with anyone outside FSIS or AMS.

It is also important to understand that you are not to print the “List of Approved Exportable Products by Establishment” and if it’s printed, it’s no longer official. You must go to Partner Web and verify the approved exportable products online each time you need to verify specific product codes for export certification.

The Partner Web site also has the following detailed information:

- “Verify Countries with an Approved Export Program”, which links back to the FSIS web site export pages
- “List of Approved Shipping Locations for Korea”, which lists slaughter, processing, and cold storage facilities eligible to export product to Korea
- “List of Approved Non-Hormone Treated Cattle (NHTC) Suppliers”, which lists farms, ranches, and feedlots approved under the NHTC program, required for certain products exported to European Union countries
- “Products Identification System by Establishment for Pork to the Russian Federation”, which lists the establishments and products identification systems used to identify pork products eligible for export to the Russian Federation.

You will need to review these additional programs or lists if one or more are applicable to the export application. None of these lists are to be printed. If printed, they are no longer official.

When you have finished verifying the EV/QSA program requirements, you will verify the rest of the export requirements in the same way as you perform the non-EV/QSA program verification. That is:

- Check marked weight of lot
- Check shipping marks (if listed)
- Check if additional certificates, seals, and certifications needed (in addition to the SOV)
- Check that the applicant signed and dated the application

- Perform an organoleptic evaluation of the product (if necessary or required)
- Check that the containers and product are correctly labeled
- Check that container weights and numbers match the values on the application
- Check that establishment numbers on the containers match numbers on the application

If the applicant has signed and dated the application, the country requirements are met, and there's no reason to conclude that the product is mislabeled, ineligible for export to the listed country, adulterated, or unwholesome, complete the first part of the export certification process by signing and dating the verified export application.

Common EV/QSA Program Errors

- ⊗ Export application was not signed by FSIS personnel

- File a copy of the application and accompanying documents and give the originals to the applicant
- Issue the appropriate blank export certificate
- issue the export stamp
- secure the stamp after the establishment finishes stamping the containers

If the application or product is not acceptable because an EV/QSA requirement has not been met, do not sign the application. Return it to the applicant and follow the instructions in the section below titled "*Improper execution of an AMS-approved EV/QSA program*".

Improper execution of an AMS-approved EV/QSA program. If you find that facilities are not correctly executing their EV/QSA program as required, do not sign export applications. Some examples of not correctly executing an EV/QSA program are attempting to ship product that isn't eligible for the importing country and attempting to ship product without the required SOV. In addition, you need to notify AMS at arcbranch@ams.usda.gov with the following information:

- Establishment name, address and number
- Product type, product code, and quantity of product
- Date of production, lot number, and shift
- Date and nature of observation
- Name of country for which product is intended
- Export certificate number (if applicable)
- Any other information to verify claim
- Name of IPP documenting concerns

Also, send a courtesy copy of the notification to your immediate supervisor and to IEPDS at ImportExport@fsis.usda.gov. Save a copy of the message in the government export file.

If any of the problems with the EV/QSA requirements are also regulatory non-compliances, take the appropriate enforcement actions and issue an NR.

So, let's look now at verifying the export certificate and signing (or certifying) the export certificate.

2- Meat and Poultry Export Certificate of Wholesomeness – FSIS Form 9060-5

As with the export application, you will certify export of product produced under an EV/QSA program using the same procedure you use for non-EV/QSA program certification. However, you will need to perform some additional verification steps before signing the export certificate.

So, what are the additional components that must be verified when an export certificate includes product covered by an EV/QSA program?

You need to verify if the country requires:

- an EV/QSA program for some or all exported product
- product can only be exported from approved facilities (slaughter, processing, cold storage, ID warehouses)
- an SOV for some or all exported product
- specific product codes and product descriptions for products subject to the EV/QSA program

To do this, you (as the certifying official) will need to review the country requirements in the Export Library.

Common EV/QSA Program Errors

- ⊗ Product codes and product descriptions on the export certificate are not written verbatim from the eligible product list
- ⊗ Signing an export certificate for product that are not eligible under an EV/QSA program

When the applicant brings export documents to you to certify, you should expect to receive the following forms:

- the original export application (FSIS Form 9060-6), signed by the FSIS inspector
- the original unsigned export certificate (FSIS Form 9060-5) or other applicable export certificate
- any other certificates required by the importing country, including letterhead certificates and supporting documents
- when required, a copy of the SOV for Export from AMS which confirms:
 - that AMS conducted a review of the required documents and slaughter and processing establishment listed
 - that AMS determined that the items listed are eligible items approved for export to the country listed on the certificate and from the facilities listed

This last point is an important one. If the importing country requires an SOV for the products being imported into that country, you must see a copy of the SOV confirming that the EV/QSA program requirements were met before you sign the export documents. It is important to verify that the SOV accompanying the export certificate applies to that specific export certificate. You need to confirm that the export certificate number and the products specified on the SOV match those listed on the export certificate

Over time, exporters have become more vigilant about ensuring that only eligible beef and beef products from eligible establishments are exported to the relevant countries. Because of this, many countries no longer require an SOV from AMS for beef and beef products. Although these countries don't require an SOV, you still need to verify the eligibility of the establishment and product.

3- Sign the Export Certificate (and associated certifications)

If all the relevant export documents are presented, meet the country requirements and meet the EV/QSA program requirements, sign all certificates in **other than black ink**. Keep a copy of the AMS SOV for Export in the government file along with the certifications.

If any of the documents are not accurate or do not meet the country requirements, do not sign the export documents. Notify the establishment and explain the problem, document the problem in a memorandum of interview (MOI) and keep copies of the questionable documents and MOI in the government file.

If the certificate or product is not acceptable because an EV/QSA program requirement has not been met, follow the procedure listed in the earlier section called "*Improper execution of an AMS-approved EV/QSA program*."

If there is noncompliance with regulatory requirements, for example, the product is mislabeled or shows signs of poor handling, document a noncompliance record under the relevant 9 CFR Part 350 regulation.

Export Related Reimbursable Services

FSIS provides voluntary inspection services to accommodate business needs such as obtaining the certifications needed to meet the requirements of importing countries. These inspection services are called voluntary reimbursable services and are authorized by the Agricultural Marketing Act (7 U.S.C. 1621 et seq. through 7 CFR Part 2, Subpart C).

Voluntary reimbursable services are provided only when they are requested by a facility. Facilities must apply and receive approval from the District Office using FSIS Form 5200-6. The regulations (9 CFR 350.6 and 362.4) allow the District Manager to deny voluntary reimbursable services to any person for a number of reasons. The District Manager also has the authority to reinstate voluntary reimbursable services.

Export activities and certifications done in addition to FSIS regulatory requirements, such as additional certification required by the importing country, are reimbursable services. Basic export services completed during the regularly scheduled administrative workweek are part of mandatory inspection provided to the regulated industry. Basic export services include verifying that information on the export application (FSIS Form 9060-6) and the standard export certificate (FSIS Form 9060-5) is accurate, that country requirements are met for the applicable products, and certification of the export documents by a Consumer Safety Inspector.

Reimbursable export activities are those done in addition to the basic services in order to meet specific country requirements for imported products. Some examples of reimbursable certification activities include:

- Certifying supplemental export certificates/letterhead documents required in addition to the basic export certificate (FSIS Form 9060-5)
- Export document certifications that require a FSIS veterinary signature
- Verifying the accurate translation of foreign language labels
- Issuing replacement certificates
- Verifying trichina certification statements
- PHV ante mortem inspection of poultry intended for export to Russia
- Verifying Export Verification programs
All export activities performed at non-official establishments (ID warehouses, cold-storage warehouses, etc.)

This list is not all inclusive. If you have questions about a specific export activity, submit the questions through askFSIS at <http://askfsis.custhelp.com> or contact the IEPDS at ImportExport@fsis.usda.gov or at (800) 444-9904.

Inspection program personnel charge fees for all reimbursable services for the time required to render such service, including travel time used in connection with providing the service. You charge for voluntary reimbursable services during your regular tour of duty when you perform export activities authorized as reimbursable services. These charges should include all of the actual time spent performing the reimbursable services, including the time to travel to and from a facility where the reimbursable service is rendered. Record reimbursable services performed during your regular tour of duty on FSIS Form 5110-1 Services Rendered. You will also separate out and record the time spent doing voluntary reimbursable services in WebTA under the appropriate management code and using transaction code "01".

If you are performing voluntary reimbursable services during overtime periods (outside your regular tour of duty), record the time spent on FSIS Form 5110-1 Services Rendered and in WebTA under the applicable overtime transaction code.

There is a 0.25 (¼) hour minimum charge for reimbursable services, rounded to the nearest quarter hour (9 CFR 307.6(a) & 381.39(a)).

Example: round more than seven minutes but less than 22 minutes of reimbursable services to a ¼ hour, or round more than 22 minutes but less than 37 minutes to a ½ hour, and so on.

Generally, overtime work of less than seven minutes' duration immediately following the official tour of duty, is not charged to the establishment.

Documenting Export Verification Tasks in the Public Health Inspection System (PHIS)

Record export verification services as a directed task in official establishments, on the day that you sign the export certificate.

Record export verification services in non-official facilities using the four voluntary inspection tasks in the task list that have a "(V)" designation after the task name. This indicates that you are doing inspection tasks in "voluntary-only facilities".

Section B

Overview - Performing Export Certification If the Importing Country is Active in PHIS (Electronic Export)

FSIS began implementing the PHIS Export Component on June 29, 2018, with 16 countries, and then gradually will expand to additional countries.

Phase 1 countries are Afghanistan, Andorra, Bahamas, Bolivia, Burundi, Cape Verde, Cook Islands, Ethiopia, French Guiana, Gambia, Guinea, Liberia, Mozambique, San Marino, Tanzania, Uganda. For countries active in the PHIS export module, all meat and poultry export applications are to be completed through PHIS. Applicants must submit an application through PHIS or submit a paper application to the FSIS Proxy for entry into PHIS on the applicant's behalf. For all exports to countries that are active in PHIS you are to use PHIS to print the approved export certificates on FSIS security paper.

A seven-digit export number will be automatically generated by PHIS. All exports processed through PHIS will use the seven-digit export certificate number as the USDA export stamp to mark products for export. IPP that certify exports to countries that are active in PHIS are to order a seven-digit export stamp. This is an accountable item and must be securely handled in the same fashion as the six-digit export stamp.

The Following Steps are the Work Flow if a PHV Signature is Not Required by the Importing Country – Manually Signing the Export Certificate

1. **Establishment submit a 9060-6 application in PHIS.** Once an application for export certification is created in PHIS, the applicant immediately receives a seven (7) digit certificate number. Establishment management continues to be responsible for notifying IPP when a shipment is ready for export verification and certification.
2. **PHIS will verify the eligibility of the product based on Hazard Analysis and Critical Control Points (HACCP) category, species, and maturity (for beef only).** Once PHIS validates the application, an export task is generated in the establishment task list. The export task name will contain the seven (7) digit (numbers only) export application number that is generated by PHIS. For example, the export task for a CSI will appear as (0001234) Export Cert – CSI and the associated PHV export task (if required) will appear as (0001234) Export Cert – PHV.
3. **IPP are to schedule and perform a separate export task for each application in PHIS.** You are to be aware that the applicant can continue to edit the application even after the associated export task is scheduled in PHIS, however once you have opened and saved the export task associated with an application, the applicant can no longer edit the application. When you complete all your verification activities (same

- verification activities that are explained in section A of this training material) and verified that the establishment is conforming to all the importing country requirements, click approve and sign in export task in PHIS. If you find that the foreign country requirements have not been met or that the establishment or product is not eligible to export to the foreign country, you are to reject the application after typing the cause of the rejection in the justification box in the task.
4. **Print the certificate on security paper, and manually sign it with other than black ink.** You are to check the FSIS Export Library for any specific color ink requirements for signing export certificates and other required supplemental documents. The same certifying official is to sign the export certificate, all continuation pages, and any required supplemental documents, such as letterhead certificates, unless specific exceptions are provided in the FSIS Export Library.
 5. **Print any attached supplemental documents that require signature on standard 8 ½” x 11” white paper, and sign it.** The date is to be the same as that on the export certificate.
 6. **Scan the certificate, continuation page and supplemental documents, if any, and upload the documents to the task, and complete the task.** Scan the signed certificate and the supplemental documents as a single document file in PDF format to the government computer. Place all document in one stack with the 9060-5 on top, followed by any 9060-5 continuation sheet, if applicable, and followed by any supplemental documents. Place the document in the document feeder on the printer and scan them to the computer and save the file as a single PDF with the title being the export certificate number. Individual file size cannot exceed 5 MB. If the file exceeds 5 MB, you are to split the documents into smaller sub-groups. If documents need to be divided into sub-groups to accommodate the 5 MB file size limit, each file should be saved as a PDF with the title including the export certificate number with additional sequencing designation (e.g., 1234567a, 1234567b, etc.). The saved files will appear as “1234567a.pdf” and “1234567b.pdf”, etc..
 7. **Provide the signed original certificates and supplemental documents** to the person, company, or courier designated by the applicant. Since all export certificates and supplemental documents are to be scanned into the export task in PHIS, there is no need for IPP to print and maintain a paper copy of these documents in the government files.
 8. **Complete, save, and close the export task.**

The following are the Steps in PHIS

1. Log on to PHIS with the Consumer Safety Inspector role.

2. Click **Task Calendar**.
3. On the Task Calendar page, click the Filter Task drop-down menu and select **Export**.
4. Click the Select Establishment drop-down menu and select appropriate establishment.
5. Under the Directed column, click **Add** for the export application task you need to schedule.
6. Choose a date to schedule the task and select a reason for performing the task.
7. Click **Save**.
8. Right click the task you scheduled and select **Document**.
9. From the Inspection Results window, enter the mandatory information on the Activity and Regulations tabs.
10. Click the **Approvals** tab.
11. Click **Approve and Sign**.
12. Depending on the country requirements, follow the instructions documented in the **Error! Reference source not found.** section.
 - Print the certificate on security paper.
 - Sign and date it.
 - Print any supplemental documentation by clicking the **Supplemental Document** or **Transit Letterhead** links on 8 ½" x 11" white paper
 - Scan both the certificate and supplemental documentation as one PDF file and save to your computer.
 - Upload the PDF file to PHIS, the signed certificate package will appear in the Attachments section.
13. Select Inspection Complete check box.
14. Click **Save**.

The Following are the Work Flow if a PHV Signature is Required by the Importing Country – Manually Signing the Export Certificate

CSI Role

1. **Establishment submit a 9060-6 application in PHIS.** Once an application for export certification is created in PHIS, the applicant immediately receives a seven (7) digit certificate number. Establishment management continues to be responsible for notifying IPP when a shipment is ready for export verification and certification.
2. **PHIS will verify the eligibility of the product based on Hazard Analysis and Critical Control Points (HACCP) category, species, and maturity (for beef only).** Once PHIS validates the application, an export task is generated in the establishment task list. The export task name will contain the seven (7) digit (numbers only) export application number that is generated by PHIS. For example, the export task for a CSI will appear

as (0001234) Export Cert – CSI and the associated PHV export task (if required) will appear as (0001234) Export Cert – PHV.

3. **IPP are to schedule and perform a separate export task for each application in PHIS.** You are to be aware that the applicant can continue to edit the application even after the associated export task is scheduled in PHIS, however once you have opened and saved the export task associated with an application, the applicant can no longer edit the application. When you complete all your verification activities (same verification activities that is explained in section A of this training material) and verified that the establishment is conforming to all the importing country requirements, click approve, check inspection completed.

The following are the CSI Steps in PHIS

1. Log on to PHIS with the Consumer Safety Inspector role (**CSI**)
2. Click **Task Calendar**.
3. On the Task Calendar page, click the Filter Task drop-down menu and select **Export**.
4. Click the Select Establishment drop-down menu and select appropriate establishment.
5. Under the Directed column, click **Add** for the export application task you need to schedule.
6. Choose a date to schedule the task and select a reason for performing the task.
7. Click **Save**.
8. Right click the task you scheduled and select **Document**.
9. From the Inspection Results window, enter the mandatory information on the Activity and Regulations tabs.
10. Click the **Approvals** tab.
11. Click **Approve**.
12. Select the Inspection Complete check box.
13. Click **Save**.

If PHV signature is required, the application approval by the CSI will trigger PHIS to generate a new export task in the task list for the PHV. The PHV export task will contain the same seven (7) digit export application number as the CSI export task but will contain a PHV designation.

PHV is to schedule the export task and review the application along with any attached supplemental documents and complete all the verification activities as explained in section A of this training materials

The following are the PHV Clicks in PHIS

1. Log on to PHIS with the Public Health Veterinarian role.
2. Click **Task Calendar**.
3. On the Task Calendar page, click the Filter Task drop-down menu and select **Export**.

4. Click the Select Establishment drop-down menu and select appropriate establishment.
5. Under the Directed column, click **Add** for the export application task you need to schedule.
6. Choose a date to schedule the task and select a reason for performing the task.
7. Click **Save**.
8. Right click the task you scheduled and select **Document**.
9. From the Inspection Results window, enter the mandatory information on the Activity and Regulations tabs.
10. Click the **Approvals** tab.
11. Click **Approve and Sign**.
12. Depending on the country requirements, follow the instructions documented in the **Error! Reference source not found.** section.
 - Print the certificate on security paper.
 - Sign and date it.
 - Print any supplemental documentation by clicking the **Supplemental Document** or **Transit Letterhead** links on 8 ½" x 11" white paper
 - Scan both the certificate and supplemental documentation as one PDF file and save to your computer.
 - Upload the PDF file to PHIS, the signed certificate package will appear in the Attachments section.
13. Select the Inspection Complete check box.
14. Click **Save**.

If the Importing Country Accepts Digital Signatures, the System Will Provide Instructions For Doing So.

You will need to do the following:

1. In the "Use Your LincPass" box, select export certificate.
2. Open the certificate in Adobe Acrobat.
3. Click the **Tools** tab.
4. In the Forms & Signatures section, click **Certificates**.
5. Click **Digitally Sign**.
6. If prompted with instructions, read the instructions and click **OK**.
7. Using your mouse, draw a rectangle in the signature block area of the certificate.
8. In the Sign with a Digital ID window, choose the Digital ID you want to use for signing and click **Continue**.
9. Click **Sign**.
10. Save the certificate.
11. Enter your LincPass PIN and click **OK**.
12. Close the certificate.
13. When applicable, take the same steps to download any supplemental documentation by clicking the **Supplemental Document** or **Transit**

Letterhead links and return to the Approvals tab for the related task, and upload all signed documents to PHIS.

14. Select the Inspection Complete check box.

15. Click **Save**.

Summary

In this module, we've walked through the steps of performing export verification activities. We know how to get to the Export Library and how to find the EV/QSA program requirements. We've looked at each part of the export application and export certificate to determine what information is needed in each section. We talked about the additional steps needed to check that EV/QSA programs meet the country requirements. We discussed what to do when the product exported does not meet the country or EV/QSA program requirements. Finally, we discussed how to how to navigate through PHIS Electronic Export feature pages and review 9060-6 application, and sign 9060-5 certificate manually and digitally as outlined in FSIS Directive 13000.5.