Issue No.1, Revised Version No.02
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REPUBLIC OF MARSHALL ISLANDS

Marshall Islands Marine Resources Authority

National Control Plan

For the offering of official guarantees in terms of fish and fishery product exports to General Markets, United States, China and the European Union

The Republic of the Marshall Islands
MARSHALL ISLANDS MARINE RESOURCE AUTHORITY
PO Box 860 – Majuro, Marshall Islands MH 96960
Tel: (692) 8262/5632, Fax: (692) 625-5447

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NATIONAL CONTROL PLAN

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Issue no.1, Revised Version.02

Approved by
BERRY MULLER
Acting Director for Marshall Islands Marine Resources Authority (MIMRA)

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The Republic of the Marshall Islands
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1 Amendments

Section Title	Page/s	Date	Version No.	Details of amendment	Approval
6.4	32	6/22/22	02, revised	Important consideration for the export market, point iii) second paragraph added to include, However, this eligibility can only be granted when the competent authority provides notification to the EU for new listings and or modifications.	
6.4.1	32	6/22/22	02, revised	Procedure to request modification to the DG SANTE website listing, both title and point i. did not include new, thus included to read For inclusions of **new** listings and modification on the list, the CA will act as follow: Requests for **new** listings, amendments (**new**, additions, deletions, modifications) of the lists of establishments authorised to export food of animal origin to the European Union (thereafter requests) must be made by the Competent Authorities of the relevant non-EU country.	
4.7.1	26	6/2/22	02, revised	4.7- Management review, points to 2 and 3 included to include; 2) The competent authority must also remain aware of the changes in the EU requirements and updates the RMI requirements accordingly in terms of both the content as well as entry into force of these changes any time those changes are in force. 3) When there is a need to revise any part of these documents at any time considering point (2), the proposed change will be made and approved by the most Senior CA Officer or an approved contractor.	

2 TERMS AND DEFINITIONS

2.1 Approved Terms

Approved - Approved by the Director or appropriate authority in writing or a means acceptable.

Audit - Is a systematic and functionally independent examination to determine whether activities and related results comply with planned activities

Audit Team - A group of authorized CA inspectors working as a team.

Authorized Officer - An officer of the authority formally appointed by the Director under Marine Resource designated pursuant to Section 503 of the Marine Resource Act as an authorized officer;

Competent Authority Official: an officer of the CA appointed to carry out the CA work in inspections and certification of fish and fishery products,

Certification - A certificate of guarantee to the processor/exporter that the food safety system has been following the requirements of the Fish Processing and Export Regulation and Industry Standard and any importing country requirements.

Cold Store - An insulated refrigerated chamber within a land-based establishment used for the storage of frozen fish and fishery products (-18^{o}C or colder).

Competent Authority (CA) - means the Authority exercising the functions in accordance with Section 119(1)(g) of the Marine Resource Act 1997 and the Fish Processing and Export Regulation 2020

CA Advisor -The CA official acting as the overseer of the CA and reports directly to the Director and Board of MIMRA.

Corrective Action - Formal communication in writing by the processor/ exporter or by MIMRA CA officials for action to be taken to address non-conformances/deviations identified during an audit.

- Any action taken when the results of monitoring at a CCP indicate a loss of control.

Establishment – A place where fish and fishery products are prepared processed, chilled/frozen, packaged or stored for domestic and export purposes.

- Any building or area in which food is handled and the surroundings of the same management.
- Auction/wholesale markets in which only display and sale by whole sale takes place are not deemed to be establishments.

Fish - Any water dwelling, aquatic or marine animal or plant, live or dead, and includes the egg, spawn, spat and juvenile stages, and any of their parts but does not include any species of whales.

Fish and Fishery Products - Means all seawater or fresh water animals or parts there of including their roes, excluding aquatic mammals, frogs, aquatic animals covered by other Acts. E.g. jelly sea cucumbers, sea urchins, whether live, fresh, chilled, frozen, dried, cooked, canned or otherwise preserved.

Fish Business Operator- Any premises where fish and fishery products are prepared, processed, chilled, frozen, packaged or stored. For the purposes of this Standard, premises also include vessels.

Food Safety - Assurance that food will not cause harm to the consumer when it is prepared and/or eaten according to its intended use.

Freezer - A chamber used solely for the purpose of freezing fish and fishery products.

- A chamber or equipment designed for freezing fish and other food products, by quickly lowering the temperature in the thermal centre of the product is the same as the storage temperature

Freezer Vessel - means any vessel on board which freezing of fishery products is carried out, where appropriate after preparatory work such as bleeding, heading, gutting and removal of fins and, where necessary, followed by wrapping or packaging.

Frozen - Condition of the fish and fishery products where the core temperature is -18oC or colder in all its parts.

HACCP- A system which identifies, evaluates and controls hazards which are significant for food safety.

HACCP Plan - A document prepared in accordance with the principles of HACCP to ensure control of hazards that are significant for food safety in the segment of the food chain under consideration.

Ice plant - Independent providers of ice (in any shape or form) to vessels, and processing establishments that are part of the EU destined value chain.

Import – Goods brought into RMI from another country

Inspection – Evaluating for conformity by measuring, observing, testing or gauging the relevant characteristics to assess compliance with specified standards.

Inspector - A person who is authorized by MIMRA and has the qualifications/competence to perform food safety inspections/audits.

Landing site - Sites where fish is first landed onshore and includes wharves

Lot - A representation of the entire product (batch), selected in accordance to its uniform characteristics and quality within a specific time and limits.

Monitor- Conducting a planned sequence of observations or measurements with a view to obtaining an overview of the state of compliance with a standard and/or legislation

Monitoring - The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a control measure is under control.

Operator - means a natural or legal person/s responsible for ensuring that the requirements of 'Fish Processing and Export Regulations 2020'are met within the food business under their control".

Pre-requisite programs - Basic conditions and activities necessary to maintain a hygienic environment throughout the food chain, suitable for the production, handling and provision of safe end products.

Processing - An operation affecting the anatomical wholeness such as gutting, heading, slicing, filleting, chopping or any other chemical or physical process (heating, salting, dehydration, marinating).

Recall - Action taken to remove from sale, distribution and consumption of any fish and fishery products found to be contaminated or otherwise reasonably believed to be unsafe for human consumption or believed to be adulterated or misbranded.

Reefer Vessels - Vessels providing the service of storing and transporting frozen materials for vessels, and/or processing establishments, that are part of the EU destined value chain

Traceability - the ability to trace and follow fish or fishery products through all stages of production, processing and distribution from source to sale

Transporters - Independent providers of transport for fisheries products or ice that are part the EU destined value chain.

Validation - Obtaining evidence that a control measure or combination of control measures, if properly implemented, is capable of controlling the hazard to a specified outcome.

Verification - The application of methods, procedures, tests and other evaluations, in addition to monitoring, to determine whether a control measure is or has been operating as intended

2.2 Acronyms

CAC	Codex Alimentarius Commission
CA	Competent Authority
DG SANTE	The Directorate responsible for Health and Safety in the European Commission
EC	European Commission
EU	European Union
FBO	Food Business Operator
FFV(s)	Foreign Flagged Vessels

FP	Fishery product(s)
FV	Freezing Vessels
GMP	Good Manufacturing Practice
HACCP	Hazard Analysis Critical Control Point
HC	Health Certificate(s)
ISO	International Standards Organization
MRL(s)	Maximum Residue Limit(s)
MIMRA	Marshall Islands Marine Resource Authority
NCP	National Control Plan
RASFF	Rapid Alert System for Food and Feed
RMI	Republic of the Marshall Island
RoO	Rules of Origin
RSW	Refrigerated Sea Water
TRACES	EU Trade Control and Expert Systems
WTO	World Trade Organization

3 Introduction

The Competent Authority (CA) for exports of fish and fishery products from the Republic of the Marshall Islands is the Marshall Islands Marine Resource Authority (MIMRA) of the Ministry of Fisheries and Marine Resources. MIMRA is responsible for regulating the handling, processing, storage, distribution and export of fish and fishery products.

The Marshall Islands Marine Resource Authority (MIMRA), is responsible for putting in place legislative provisions that enables the CA to set standards, make, adopt and or provide guidelines and controls necessary to ensure relevant market requirements are met. MIMRA is responsible to collaborate with the relevant authorities where similar roles are being carried out and have administrative arrangements for collaboration. Personnel working within the Competent Authority are known as the CA Officers or Fish Safety Inspectors.

The CA Officers are empowered under Title 51 Marine Resource Code, ***Section 119, Marshall Island Marine Resource Act 1997, and the Fish Processing and Fish Export Regulation 2020*** **to carry out their duties.** Specific product knowledge and skills is required of CA officers, in order to evaluate the hazards related to fishery products and process. In understanding of the hazards, he/she will be able to assess their health and food safety implications.

The CA Officers must be able to identify non-conformance/s and take the necessary action when the fishery business operator fails to comply.

The MIMRA as the designated CA for fish and fishery products is committed to ensuring it discharges its duties and responsibilities in accordance with national and international legislation, requirements, standards and procedures and those outlined in this document.

3.1 Background - European Union market requirements

The EU requires that the official guarantees in terms of compliance of seafood exports from a third country should be given by a competent authority which means the *"...central authority of a State competent for the organization of official control*". This statement has to be read in terms of the official controls as required in terms of food safety, production standards and those, as specified for seafood in the relevant EU legislation.

Regulation (EC) No 2017/625 Article 109 requires the elaboration of a multi annual National Control Plan (NCP) or equivalent as specifically recommended for third countries[1],hereby identified as the present equivalent document – National Control Plan (NCP).

The evaluation of this NCP would become the basis on which to judge equivalence for market access.

There is no standard manner by which the NCP is drafted or presented, rather they should be established in accordance with Regulations (EC) No 178/2002 laying down the general principles and requirements of food law, (EC) N° 2017/625 on official controls performed to ensure the verification of compliance with feed and food law, animal health and animal welfare, and the "hygiene standards" of Council Regulation 852 and 853/2004, Council Directive 2002/99/EC and European Parliament and Council Directive 2004/41/EC.

Critically, Regulation (EC) No 178/2002 offer the options of compliance or equivalence (Article 11) for food imported into the Community for placing on the market within the Community, as it shall comply with:

- The relevant requirements of food law, or
- Conditions recognized by the Community to be at least equivalent thereto, or
- Where a specific agreement exists between the Community and the exporting country, with requirements contained therein.

Any EU oriented regulatory changes towards equivalence or harmonization, besides being time consuming and costly, will greatly affect the competitiveness of those companies not engaged in trade with the EU.

Hence, MIMRA as the CA has set up this administrative procedure, under its existing regulatory framework, for the operators intending to export to the EU, as long as they prove compliance with the relevant requirements of food and feed law of the European Union.

[1] Non – EU Countries, referred to as Third countries.

Noting that all food business operators are required to comply with the national standards as a legal requirement. Exporting to the EU is a voluntary act on the part of a few processors, the recognized CA can impose, as an administrative measure, additional production and compliance standards, as well as more frequent verifications, only for these companies.

In this way, the CA can provide "official assurances" only for those establishments and suppliers who want to be engaged in trade with Europe.

The establishments on their side recognize that maintaining approval and certification privileges, as part of the listing of companies allowed to provide raw material or to export directly to the EU, is dependent on regulatory compliance.

If an establishment is not in compliance with the requirements, then their market privileges are suspended or removed as necessary.

All methods, procedures and regulatory instruments to be used for assessment, regulatory verification and official guarantees, are presented in this National Control Plan and presented to the EU if requested. This approach is seen to being cost effective in its implementation while upholding the level of compliance required for official guarantees.

3.2 Purpose

The NCP is intended to provide all the necessary policy guidelines, methodologies and legislative requirements intended as a condensed version of the EU market requirements in meeting equivalency for the export of fish and fishery products to the EU.

It will be one of the main documents that will guide and will be used by the CA officers/Fish Safety Inspectors in the course of their duties.

The document covers the protocol necessary for the operation of the CA and its personnel with more emphasis for Food Business Operators with interests for export to the EU. It also details specific roles and responsibilities for the CA Officers, the tools for use and actions that are to be taken when food business operators do not comply.

This NCP for the Republic of the Marshall Islands (RMI) covers fish and fishery products intended for export from RMI with specific requirements for operators and products destined for the European Union as defined by Articles 109 to 111 of EU Regulation 2017/625 (and as amended).

The ***Fish Processing and Export Regulation 2020 (FPER)*** of the RMI forms the basis for all fish processing and fish export operations. The structure and contents of the National Control Plan and the industry standards as subsidiary requirements underpinned by the FPER but in accordance to the guidelines on official controls laid out in the Regulation (EC) 2017/625.

3.3 Criteria for Review / Modification

This National Control Plan is not set in stone but is subjected for review when issues arise and there are changes to legislations and market requirements among other areas that arise.

3.3.1 Risk

The risks to be considered in the event amendment is needed shall include changes in product(s), changes in processes, new scientific information on the risk associated with fishery products, alerts or information from importing countries via buyers or from EU RASFF notifications. Any other risk will be evaluated by the CA as information becomes available.

3.3.2 Changes in EU legislation.

Any change or updates to the EU legislation will require review to the National Control Plan. In cases that it warrants, the National Control Plan shall be amended accordingly to take account of those changes.

3.3.3 General legislation changes

Changes in the legislation of RMI or other key markets requirements may warrant review of the National Control Plan.

3.3.4 The Outcome of Official Controls

Information gathered during official controls (either in-country or in-market) will also be considered and the need for review may result from this if any risk is identified.

3.3.5 Changes in CA Structure, Management or Operation of the CA

This may also trigger a review if those changes result in the NCP requiring it to be updated.

3.4 Approved Authorities

The Director of MIMRA shall be responsible for endorsing the revised NCP once reviewed.

The designated CA Officer shall authorize any changes and ensure updated version of the NCP is made available to CA officers each year as soon as approved.

The CA - Manager and or delegate must ensure the NCP is made public to people or organisations that may need it, with the exception of those parts of the plan the disclosure of which could undermine the effectiveness of controls.

3.5 Document Control/File

The updated version shall be dated clearly on the front cover or header, indicating Issue No. Version No. and the Date of Issue.

File copy of the previous version and Master copies be retained securely by the CA on records.

Records of Original document comprising of procedures and checklists must be kept in the Master File and held or stored in a secure filing area.

3.5.1 Records

Be maintained for 3 years and thereafter discarded if so desired by the or moved to archived if desired.

4 THE COMPETENT AUTHORITY

4.1 Objectives

The CA has a strategic objective to set up the necessary regulatory framework, to permit and maintain the export status of seafood products to overseas markets to ensure their safety and compliance with National and foreign government legislation at all stages of production, processing and distribution of fish and fishery products.

Of particular focus for CA activities are to ensure operators meet the specific requirements of the EU, USA and China.

The fundamental objective is the pursuit of a high level of protection of human life and health and therefore the RMI regulatory framework for EU exports has as its principal purpose to ensure a high level of consumer protection with regard to food safety respecting the general and specific foreign government (including EU) hygiene rules.

4.2 Scope

The following are markets that are part of the EU member state and products entering Europe apply to these countries and therefore the EU requirements apply:

(a) the European Union, being Austria, Belgium, *Bosnia & Herzegovina,* Bulgaria, Croatia, Denmark, Finland, France, Germany, Greece, Italy, Luxembourg, Netherlands, Portugal, the Republic of Ireland (Eire), Spain, Sweden, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia and Slovenia

(b) the French Departments, being Guadeloupe, French Guiana, Martinique, Mayotte, Réunion, St. Pierre et Miquelon

(c) the Faroe Islands (Denmark), Canary Islands (Spain), Madeira (Portugal) \Ascension countries have adopted EU rules for the importation of animal products

While Switzerland, Norway and Iceland are not official EU Member States, they have adopted EU requirements and fish exported to those countries are subject to the same EU requirements.

Products landed in either Norway or Iceland may proceed to EU Member States without any additional import controls.

4.3 Legal Background

The Marshall Islands Marine Resource Authority (MIMRA) is the body deemed by government as the designated Competent Authority for the export of fish and fishery products to the EU.

The legislation under which this authority is conferred for fish and fishery production, marketing, import and export are based on the following legislations.

4.3.1 Hierarchy of Legislations

4.3.1.1 Marshall Islands Marine Resources Authority Act of 1997, under Title 51 of the Marshall Island Resource Code (MIRC).

The Marine Resources Authority Act 1997 defines the roles and responsibility of the Marshall Islands Marine Resources Authority. The Act empowers MIMRA to regulate the processing, marketing and export of fish and fishery products. The Act provides MIMRA with the powers to make regulation and set standards.

4.3.1.2 Fisheries Enforcement Act

The Fisheries Enforcement Act empowers the authorized officer to exercise his/her duties and report to MIMRA to take the necessary enforcement action or for the officers to exercise authority where required.

The Fisheries Enforcement Act also establishes Duties of the Fish Processing Establishment in compliance with required regulation and approved standards.

4.3.1.3 The Fish Processing and Fish Exports Regulation 2020

This Regulation enables the Authority to regulate the commercial processing of fish and fish products and the commercial export and import of fish and fish products and prohibits the commercial processing and export of fish and fish products without authorization by the Authority; It provides for an application process for licenses to conduct such activities; allows for setting of standards for the handling of fish on fishing and freezer vessels and in fish processing establishments; allows the appointment of fish safety inspectors; creating offenses for the violation of this Regulation; and prescribes the fees and penalties.

Under this Regulation, two (2) schedules guide the actions of the CA and the industry:

4.3.1.3.1 Industry Standards

The RMI Industry Standards sets out the requirements and standards required for the food business operators and fishing and freezer vessels intending to land, handle, process and place on the market fish and fishery products intended for the non-EU and EU market. Compliance to EU is dependent on compliance with these requirements and conditions.

4.3.1.3.2 National Control Plan

The National Control Plan sets out the specifics for the operation of the CA and its personnel with additional emphasis for Food Business Operators (FBO) with interests for the EU market. It details specific roles and responsibilities for the CA Officials, the tools for use and actions that are to be taken when food business operators do not comply in accordance with the requirements of the Fish Processing and the Export Regulation 2020, and the legal requirements of **Title 51 of the Marshall Island Resource Code.**

4.4 Organization of the Competent Authority

4.4.1 Structure

The position of CA in regards the MIMRA management structure is presented in figure 1.

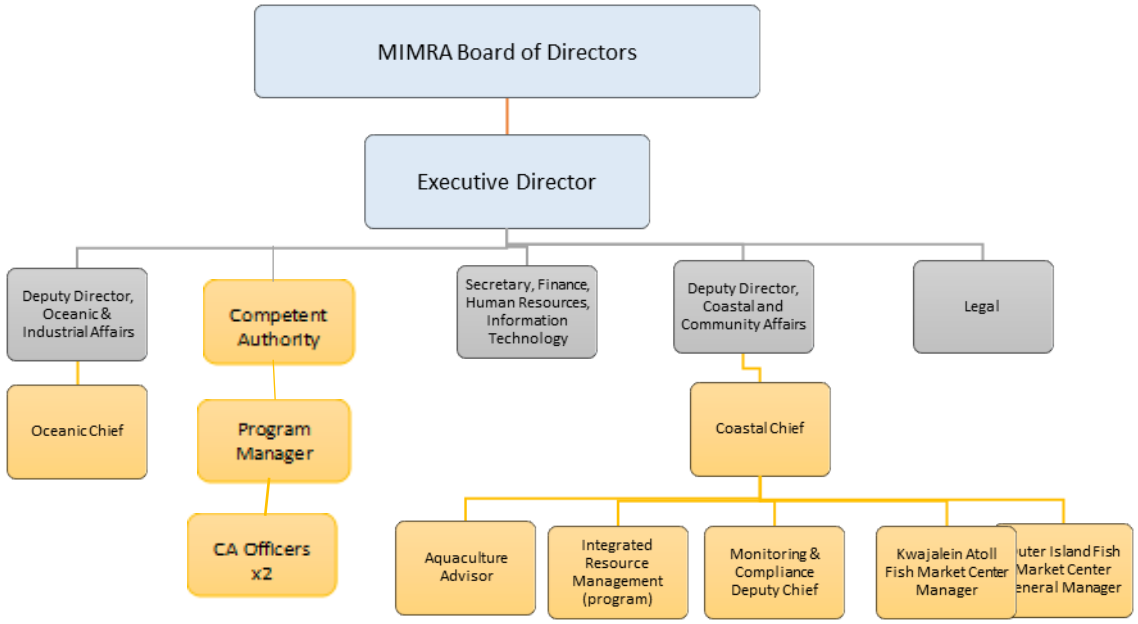

Figure 1: MIMRA Executive Management

4.4.2 Staffing

The Central Competent Authority has a proposed total staffing of four (4). At present there are only two (2) staff manning the CA unit.

4.4.2.1 Competent Authority Advisor and CA Manager

i. The CA Advisor provides the overarching technical support and role to the Competent Authority Staff and work and provides training to the CA Manager in the transition to the CA role.
ii. Handles all the administrative facets of the Competent Authority, with respect to his/her internal structure, and liaises with industry in the handling of the listings.
iii. Prepares annual budget including work plan for the CA team
iv. Responsible for providing leadership and managing the deployment of personnel to ensure effective and efficient inspection and control of Fishery Product destined for the EU market.
v. Provides avenues for staff training and competence and verification of the CA operations at central headquarters.
vi. Control and distribute the NCP and supporting documents
vii. Reviews the NCP annually to incorporate changes.
viii. Reports and provided Technical advice to the Director and Board of the MIMRA

4.4.2.2 Competent Authority Officer

The CA Officer shall be responsible for the following;

i. Ensuring that the NCP is implemented and documented
ii. Work closely with the CA advisor on the performance of the system.
iii. As per the annual inspection plan, in a timely manner conducts plant and vessels inspections, take and prepare samples for examination and testing.
iv. Ensure timely issuing of inspection reports.
v. Review tests results and communicate with the inspector and lab for issues relating to results.
vi. Produce and sign certificates for the export of the products that come from approved establishments that have maintained the necessary conformity to the requirements.
vii. Enter export data and keep records of such data in a secure place.
viii. In the absence of the CA advisor he/she is the next person to ensure the functions and program of the CA is attended to as planned and required

4.4.3 Powers

The following are powers of the Competent Authority mandated under the Legislations in relation to actions take;

i. to order the examination or samples or product if an authorized officer has reason to believe fish or fishery products are in non-compliance with relevant legislation;
ii. to search premises and records if an authorized officer has reason to believe fish or fishery products are in non-compliance with relevant legislation;
iii. to refrain from signing Health Certificates and or withdraw the 'Approval' status of an establishment or vessel if an CA officer has reasonable grounds to believe that fish or fishery products and the conditions under which the products are handled are in non-compliance with relevant legislation causing product to be unfit for human consumption and or may be injurious to health.
iv. to cease operation at an establishment or vessel if consumer safety is in jeopardy or critical and very serious non-conformance are observed

4.4.3.1 Action to take in case of non -compliance

i. When the CA identifies non-compliance, it shall act to ensure that the operator remedies the situation. In deciding which action to take, the CA shall account of the nature of the non -compliance and that operators past records with regards to non- compliance.
ii. Such action shall include, where appropriate, the following measures;
    a. Restriction or placing on the market, import or export of fish and fish products
    b. Imposition of more stringent sanitation procedures or related actions and measures to ensure safe environment and fish production.
    c. Monitoring and if necessary, ordering the recall, withdrawal and destruction of the fish and fish products.
    d. The authorisation to use the food/fish for purpose other than originally intended
    e. The suspension and penalising of operations or closure of all or part of the business concerned of an appropriate period of time,
    f. The suspension of withdrawal of the establishment approval
    g. Any other measures deemed appropriate
iii. The competent Authority Advisor and of the CA Manager shall provide the operator with a written notification of its decision concerning the action taken in accordance to paragraph i. Together with the reason for such decision and information of rights of appeal against such decision and on the applicable procedure and time limits.

4.4.4 Functions

Under the structure presented previously the following functions are determined:

- Management of all conditions relating to the exports of seafood from RMI
- Management of all conditions relating to the inspection and control of imports of seafood to the EU

- Particular focus on ensuring the requirements of EU legislation are met for all seafood products being exported to the EU
- Required official guarantees are specific responsibilities of the Competent Authority and the CAO's, which would be based on the conditions determined by this document and the relevant regulations.
- Be the legal authority for the enforcement of the National Control Plan and the Industry Standards under pinned by the Regulation and Title 51 of the Marshall Island Resource Code.
- Be the point of contact with the authorities of the importing countries, to facilitate effective communication for the control of seafood safety and improved trade including:
    - Notification of such authorities of premises/facilities approved for export.
    - Provision of official response to incidents, audit findings etc.
    - Responsible for the planning and implementation of measure to harmonise RMI standards with export markets requirements.

The CA is responsible for implementing the sanitary control system for fish and fishery products and for export certification activities as defined by Title 51 of the Marshall Island Resource Code.

The scope encompasses the 'farm to fork' principle and therefore covers all steps in the chain from the harvesting of living aquatic resources, its on-shore handling, storage and processing, to its distribution locally and overseas, to ensure that consumers are protected from foodborne hazards.

4.4.5 Responsibilities

The responsibilities of the MIMRA CA – pertaining to exports to the EU are as follows;

i. Manage the process of registration, approval and listing of establishments (including vessels, cold stores and landing sites) authorized to export to the EU.
ii. Carry out regulatory verification of establishments, landing sites and fishing vessels (local and (locally based foreign).
iii. Manage the listing status of establishments based on compliance.
iv. Manage and implement the National Control Plan to meet the National and the EU legislative requirement.
v. Produce and sign the required Health or Sanitary Certificates.
vi. Maintain records and documentation for verification audit purposes.
vii. Provide and or facilitate training for Authorized Officers/fish inspectors.
viii. Maintain a list of laboratories authorized to perform testing to meet EU requirements
ix. Sampling and testing of seafood to assure overseas market access requirements and the requirements of the Industry Standards are met.

4.4.6 Regulatory Responsibilities

As a regulatory arm of the government, the Competent Authority is responsible to;

i. Ensure industry meet food safety requirements and standard in relation to export to the European Union.
ii. Issue health certificate when the establishments follow food safety requirements and the licensing condition of the Authority,
iii. Provide information pertaining to the importing country requirements and standards to the exporting companies and establishments.
iv. List laboratory facilities approved by the CA for testing purpose and evaluate facilities used by FBO for testing to ensure compliance to importing country requirements.

4.5 CA Officers Competencies

The Central Competent Authority based in Majuro maintains the responsibility of managing and granting of *official guarantees*, with respect to marketing and exports of fish and fishery product.

4.5.1 General Competencies

Persons working as a CA officer/ must demonstrate the following minimum competencies:

i. successfully completed an approved inspection and certification training program that covers all aspects of regulatory inspection and certification and deemed competent as per the practical assessment and examination outcome.
ii. able to demonstrate an understanding of the national and EU Regulations and relevant associated legislation including subsequent amendments.
iii. show appropriate knowledge and understanding of the infrastructure and operational workings of the RMI fishing industry and processing operations.
iv. demonstrate knowledge of:
    a. seafood spoilage, by organoleptic assessment;
    b. seafood handling to minimize fish deterioration through biochemical and enzymatic changes in fish;
    c. seafood safety; hazards and implications along the process line and measures of control.
    d. seafood related inspection and testing;
v. demonstrate an understanding of the role and responsibilities of a fish safety inspector in the sanitary control of fish and fishery products.
vi. Understand operational realities of different types of fishing vessels and type of establishments

4.5.2 Specific Competencies

The CA fish safety inspector must demonstrate and show competency in the following specific areas:

i. Understand the requirements of the HACCP program its verification inclusive of support programs;
ii. Understand and able to identify the various hazards in the process and products and understand the appropriate control measures;
iii. Understand different control techniques,
iv. The different stages of production, processing and distribution, and the possible risks for human health, and where appropriate for the health of animals and plants and environment.
v. Assessment of non-compliance with relevant legislation.
vi. Management systems such as quality assurance program that seafood businesses operate and their assessment in so far as relevant to legislation.
vii. Official certification systems and processes.
viii. Contingency arrangements for emergencies, including communication with EU.
ix. Legal proceedings and penalty actions and the implications of official controls.
x. Examination of written, documentary material and other records
xi. Understanding and interpreting tests results and proficiency testing, accreditation and risk assessments, relevant to the assessment of compliance with legislation; may include commercial or financial aspects.
xii. Any other area necessary to ensure official controls are carried out in accordance with in-country and EU legislation.
xiii. Legal proceedings and the implications of official controls.
xiv. Familiar with the requirements to be met by exporters including:
    - licensing requirements;
    - official verification requirements
    - official control procedures and certification requirements;
    - facility and service requirements including construction and layout;
    - operational requirements during processing and stages of operation including load out;
    - labelling, residues and ingredient or additive requirements;
    - documentation and record-keeping requirements.
    - correct interpretation of international market access requirements.

4.5.3 Training procedure

New CA officers will be placed on probation for a period of at least six months during which time they will be required to:

- work under the supervision of experienced CA officials; and
- attend and pass an approved training programme on inspection and certification; and
- demonstrate proficiency in relation to the competencies outlined above.

Designing and organizing of the training program is the responsibility of the CA advisor and the CA Manager, in consultation with the Director of MIMRA for financial commitments.

i. The Director approves the training provider including recruitment of any specialist needed to ensure competence of CA officers.
ii. Every beginning or end of the year training needs are assessed and budget allocations made accordingly.
iii. The current approved training programme is the Fish Inspector Training workshop offered by the Forum Fisheries Agency (FFA). If the officer is unable to attend the FFA workshop within their 6-month probationary period, then the officer must work under the direct supervision of a senior CA officer with at least 3 years' experience working in CA work.

4.5.3.1 Training records

All the CA Officers have personal files that contain training records, qualifications and experience.

4.5.4 Code of conduct for CA Officers

RMI's reputation as an exporter of fishery products depends to a large extent on the proper functioning of the CA. Therefore, it is imperative that the conduct of CA Officers is above reproach.

Officers work in a small community, many times living side-by-side with industry personnel. In these cases, work decisions made by staff may result in harassment, even at a social level.

Such an environment can also increase the risk of compromise, but it is intended that by becoming familiar with the information of this schedule, officers will be better able to recognise and deal with those situations where care is needed to protect their integrity. The primary duty of CA officer (fish safety inspector) is to perform his / her job impartially and objectively by considering matters on their merit without regard to outside influences or personal interest.

The Code of Conduct is aimed at self-regulation with the onus placed on staff to be aware of their responsibilities and to ensure that terms and conditions of their employment neither interferes with the proper performance of official duties or the integrity of the inspection service.

4.5.4.1 Conflict of interest

Conflict of interest is defined as "the loss of impartiality in an organisation's or individual's decisions or actions caused by conflicting interests in the outcome."
In order to prevent conflict of interest in the CA role the following mechanisms will be employed:

i. Provision of support to individual officers by the CA management in situations where an officers' decision can affect the economic status of MIMRA or the wider community.
ii. Clear definition of the scope and duties of the inspector position in job descriptions
iii. In cases where conflict of interest may occur, that the individual inspector brings this to the attention of the CA management for resolution.
iv. Officers are prohibited from using or supplying to any other party confidential or privileged information which they gain in the course of duty.
v. Officers are further prevented from using coercive powers for the benefit of themselves or the department for which they work.
vi. Officers are required to apply statutory standards and powers impartially. To this end, officers must ensure in making decisions on compliance and other issues that regulatory standards are applied consistently, fairly and to the best of their knowledge.

4.5.4.2 Gifts

Under no circumstances are officers to solicit or accept gifts. If a gift finds its way into an officer possession should be courteously rejected and or brought to the attention of management.
This policy does not prohibit:

i. The exchange of social courtesies (e.g. the acceptance of morning tea);

ii. Acceptance of food and refreshment of nominal value on infrequent occasions, where the interest of the CA is served by participation of staff in industry-sponsored activities.

4.5.4.3 Use of Official Information

CA Officers are required to keep confidential all information and records gained in the course of their verification and certification activities. This includes all written or verbal information supplied.

CA Officers must not divulge any such confidential information to any other party unless required to complete their work in a satisfactory manner or if they have the approval of the rightful owner of the information.

In the execution of their inspection activities officers have privileged access to information of commercially sensitive nature. It is the duty of officers to safeguard such confidential information. This is important to ensure that the entity under inspection maintains full confidence and trust in the CA.

4.5.4.4 Independence

CA Officers are required to demonstrate independence in the course of their duty. This will require the declaration of any conflicts of interest or potential conflicts of interest as they arise.

Independence will require CA Officers abstain from involvement in the day-to-day operation of any seafood processing establishment or vessel.

4.5.4.5 Provision of advice

CA Officers are not advisers on compliance, they are evaluators of compliance. Advice to operators is to be limited to sections of official documents or resources for the operators own development of solutions.

Beside the conflict of interests arising from evaluating solutions being provided. provision, MIMRA may be liable for damages for economic loss sustained by persons who act on information or advice negligently given by CA officers.

Given the variety of circumstances in which advice might be sought, it is not possible to devise detailed rules for universal application.

4.5.5 Personal presentation and attitude

4.5.5.1 Personal Appearance and Manners

CA Officers should present an overall clean and tidy appearance. If safety or protective clothing is provided, it should be worn on appropriate occasions.

CA Officers are expected to lead by example when it comes to personal hygiene and hygienic practices when visiting establishments

CA Officers should be polite and courteous, and show good manners in behaviour and speech. To be firm does not mean to be abrupt or rude.

Compliance issues should never be personal conflicts, operators are more likely to change if the problem is understood. If the point is not clear, draw a picture; speak clearly and at a level that can be understood. Be patient, it may take longer than anticipated to get the message across and when negotiating with someone to have work carried out, be prepared to concede a point.

If an officer is unsure of a particular fact, he or she should source the requested information and pass it on as soon as practicable.

4.5.5.2 Conduct during Incidents

If a CA Officer is abused, threatened or placed in a potentially difficult situation, the individual should stay calm and not get excited. If tempers flare, the CA Officer should leave the area, explaining why and when, he / she will return. People who have had time to think will often reconsider. It is important not to retaliate, use abuse or violence. Report the incident to the CA management, and follow it up with a detailed written report.

4.5.6 Breaches in the code of conduct

If a CA Officer becomes aware of, or suspects that there is some irregularity in the operation of an establishment or vessel, the matter should be reported immediately to the management first orally and then in writing within 24 hours.

In noting the above procedures, each CA Officer should be aware that failure to report such irregularities may constitute misconduct.

4.5.6.1 Operators reports

If an operator suspects that a CA Officer is involved in illegal or improper acts it is encouraged to report the matter to CA Management, and given assurances that the issue will be investigated without bias.

4.5.7 Anti-corruption measures

Besides the Code of conduct stipulated for all MIMRA Staff to adhere to in terms of disciplinary action, the CA has also put in place additional code of conduct for the fish inspectors;

i. These includes the following principles, by which CA fish inspectors is prevented from engaging in;
   - Receiving payments (in cash or kind) or other form gifts and donations for approval of establishment, irrespective of compliances with conditions.
   - Fraudulent issue of certificate.
   - Entering into business relationship with fishery operators.
   - Any gifts with nominal value in cash must be declared to the CA advisor and or to Director MIMRA for determination.

4.5.8 Transparency mechanisms

i. Approval processes for facility and certification go through the CA Advisor and Manager who reports to the Director/Board prior to deliberations, ensuring the MIMRA process for approval is followed.
ii. Authorized officers assigned to respective EU approved facilities to be on rotational basis.
iii. Authorized officers who have close relatives in EU approved facilities holding to key managerial positions have to declare their interests
iv. No gifts in cash or kind shall be received by any authorized officers, only very minimal complimentary provisions during work.
v. Authorized officers are expected to perform high level of professionalism while engaging with the industries.

4.6 Document Control

4.6.1 Document Control

All documents pertaining to this National Control Plan will follow the format, given below:

Header

Issue and Version No

Date of Issue

Document Name

Footer

Page no.

4.6.2 Amendments

Amendments to this National Control Plan can only be carried out by the most senior CA officer or an approved contractor. Amendments made must take note of, the version number and date of issue amended on the header and updated in the Amendment Sheet.

4.6.3 CA Operational Forms and Records

An identification and summary of the CA operational forms and records is presented below with the originals in Annex 2

Table 1: Summary table of the CA operational forms and records

Checklist Ref. No.	***Overview of Form***	***When Used***
F00	Cover page for all CA inspection checklists except F13 and F14	After completing inspection checklists F01 – F12 to summarise findings and determine next verification visit frequency
F01	Documental verification of HACCP	For any new company wishing to export and every year for existing companies (HACCP Desk Top review)
F02	Verification of pre-requisite and supporting programmes	For any new company wishing to export and every year for existing companies (pre-requisite and supporting programme desk top review)
F03	Infrastructure condition (pre- and re-approval)	For any new company wishing to export and every year for existing companies – initial or annual renewal site visit
F04	Inshore processing premises hygiene and HACCP	For on-going verification visits to a land-based premises according to the verification frequency in the NCP
F05	Verification of the condition of ice plants (EU)	Only for on-going verification visits to standalone EU approved ice plants according to the verification frequency in the NCP
F06	Verification of the condition of cool stores (EU)	Only for on-going verification visits to standalone EU approved cool stores according to the verification frequency in the NCP
F07	Verification of the condition and systems on offshore vessels (EU)	Only for on-going verification inspections on EU approved offshore vessels according to the verification frequency in the NCP
F07B	Fuel Monitoring form	To be used by the CA to check for possible dual use of fish holds
F08	Verification of the condition and systems on coastal vessels (EU)	Only for on-going verification inspections on EU approved coastal vessels according to the verification frequency in the NCP
F09	Verification of the condition of landing sites (EU)	Only for on-going verification inspections on standalone EU approved landing sites according to the verification frequency in the NCP

Checklist Ref. No.	***Overview of Form***	***When Used***
F10	Verification of the condition of transporters (EU)	Only for on-going verification inspections of standalone EU approved transporters according to the verification frequency in the NCP
F11	Verification of traceability (EU)	Only for the verification of traceability of fish from premises approved to export to the EU according to the verification frequency in the NCP
F12	Organoleptic Evaluation	for the organoleptic evaluation of fish from premises approved to export to the EU according to the verification frequency in the NCP
F13	Corrective Action Request	To be used whenever a non-compliance is discovered as part of verification checks
F15	CA Training Record	To be used to trace individual Inspection and Certification Unit inspector's training
F16	List of Approved Export Establishments	To be used to track establishments that are approved by the CA for general export from RMI
F17	List of External EU operators	To be used to track establishments, vessels and cold stores that are approved by the CA for DIRECT export to the EU market
F18	List of Internal EU operators	To be used to track establishments, vessels, cold stores, landing sites and transporters that are approved by the CA for INDIRECT export to the EU market i.e. to handle product that is ultimately destined for the EU market but not exported directly
F19	Annual CA Review	To be used by the CA Team Leader once a year to review the National Control Plan and CA activities
F20A	Internal Audit form – Rapid Alert and Formal Framework	To be used once a year as part of the internal audit process
F20B	Internal Audit form – Monitoring programme and Laboratories	To be used once a year as part of the internal audit process
F20C	Internal Audit form – Listing Protocol	To be used once a year as part of the internal audit process
F20D	Internal Audit form – Inspection and Certification	To be used once a year as part of the internal audit process

Checklist Ref. No.	***Overview of Form***	***When Used***
F20E	CA Corrective Action form	To be used by CA staff to record corrective actions to the CA system.
F21	CA Sampling form	To be used to record and report CA sampling carried out for official controls
F22	CA Equipment List	To be used to record and track serial numbers of all CA equipment
F23	CA Equipment Calibration Record	To be used to record annual calibrations of CA equipment
F25A	Exporter Registration form	To be completed by companies and submitted to the CA for initial and renewal of facilities and establishments
F25B	Amendments to Approvals form	To be completed by companies and submitted to the CA when amendments need to be made to facility and establishment approval details.
F26	Vessel data sheet	To be used prior to approval of any EU vessel (internal or external EU list)
F27	Transport Data sheet	To be used for transporters wishing to gain EU approval.
F28	Imported Food Inspection form	To be used when an inspection is carried out by CA on fish and fish products being imported into the country
F29	Health Certificate Export Information form	To be completed by the operator when he or she wishes to get a CA issued Health Certificate
F30	Request to Change/Reissue Health Certificate form	To be completed by operators when they need to change details on their health certificate or when a health certificate is lost

4.7 Management System Review

4.7.1 General

1) As required, documents pertaining to the activities of the CA will be reviewed at least annually by the CA Team or more often as required. Documents can be subjected to review if the following arises but is not limited to:

- a requirement by overseas importing country/s
- following a significant food safety event
- on request from the Director or Minister
- in light of documents approvals and discussions among CA Team members.

2) The competent authority must also remain aware of the changes in the EU requirements and updates the RMI requirements accordingly in terms of both the content as well as entry into force of these changes any time those changes are in force.

3) When there is a need to revise any part of these documents at any time considering point (2), the proposed change will be made and approved by the most Senior CA Officer or an approved contractor.

4.7.2 Internal Audit

Article 6 of EU Regulation 2017/625 requires CAs to carry out internal audits of their operation (or have them carried out for them) and to act on the findings of those audits.

Each year (unless results indicate a need for more frequent review) the CA Advisor, Manager or designate will conduct an independent audit of the activities and documentation of the CA.

This audit will cover the following:

- A review of a representative number of audit checklists and reports completed throughout the year.
- A review of overseas country requirements to ensure on going compliance of the quality system and other relevant documentation with these requirements;
- A review of CA activities against documented procedures and documentation;
- A review of complaints and appeals to determine if further changes need to be made to documentation;
- A review of the document control system to ensure documents are up-to-date.

Forms F20A to F20E in Annex 2 will be used to record the findings from each audit carried out.

4.7.2.1 External Review

External reviews will be conducted by an organisation and/or individual with adequate competencies to perform the review. The frequency of the review will be determined by:

- Previous performance of the CA
- Feedback from overseas countries receiving seafood from RMI
- The number of complaints and/or rapid alerts obtained
- Prior to overseas controlling authority visits

FFA will likely perform these reviews using suitably qualified personnel with experience in seafood and market access issues, particularly the EU.

Results of such independent reviews will be held on file in the office of the CA and any agreed non-compliances corrected within an agreed timeframe.

5 CA Equipment and Resources.

5.1 Controls of CA Equipment and Resources

CA officers will have the following equipment and resources to carry out their duties:

i. Calibrated and/or certificated thermometers
ii. Testing kit for measuring chlorine levels in water
iii. Digital cameras / Phones
iv. Protective clothing and safety gears which meets the requirements of the industry standards

Equipment and resources used by the CA officers will be checked for continued suitability for the task on regular basis and updated as required.

Equipment to be used for critical measurements will be under the control of the CA Advisor and or the most senior CA officer and will not be made available to personnel other than CA Team members when carrying out their duties.

Equipment will be stored in a secure location and accessible only by authorized CA team members.

CA Equipment should be identified as CA property and maintained on the CA Equipment Register (F22 in Annex 2).

5.2 Calibration Procedures

Equipment to be used for critical measurements will be calibrated at least annually using this procedure unless results indicate a need for more frequent calibration.

i. Thermometers will be checked at least annually against a reference thermometer standardized to international standards.
ii. Each month thermometers will be checked using a mixture of ice and water (0^{o}C) and boiling water (100^{o}C).
iii. Records of calibration checks will be held on-site by the CA Advisor or in the relevant secure CA office filing area as appropriate.

CA form F23 will be completed as evidence that calibration has occurred.

5.3 Reference Materials and Resources

Reference documents to be used for the control the CA activities to ensure on-going compliance with national and international standards and requirements. It is the responsibility of the CA Advisor and or designate to ensure:

i. the most up-to-date versions of reference materials is available to personnel who need them;
ii. reference documents keep pace with any changes in both national and international requirements.

References used by the CA and in developing this NCP are shown in section 14.

6 Listing Protocol

The protocol establishes the mechanism for official listing and the potential possible scenarios arising in terms of the offering of official assurances.

6.1 General principles

Land-based premises directly exporting seafood products from RMI must in the first instance be registered and appear on the approved establishment list. This list is maintained on the internal CA list.

Premises handling, processing or storing seafood intended for export to the EU must first appear on the relevant third country listing which are maintained by the EU. This list is maintained on the external CA list.

The CA will notify the operator of the dates of CA's acceptance and any EU/Member State listing as per the process of listing.

Vessels fishing in RMI waters intending to export directly from the vessel without onshore processing in RMI and wishing to gain health certificates must meet the listing requirements for EU vessels in this NCP.

Products are maintained under complete CA control from the time it is landed to the time is enters the factory for processing to ensure traceability of the products and ensuring chain of custody is maintained.

6.2 Types of lists

The CA managed three types of lists:

6.2.1 General Export Internal

This list covers all land-based establishments who export, or intend to export, seafood products to any market OTHER than the EU.

This list in maintained by the CA and made available to authorised persons on request. No land-based premises can export product directly from RMI without being on the CA list as approved for export.

Establishments approved for general export (all markets) are recorded on form F16 shown in Annex 2.

6.2.2 Internal List – EU

*The commercial operators under this type of listing **do not export directly**, but are part of the EU destined supply chain.*

The listing is approved and maintained by the CA and presented to the EU on demand.

The following type of establishments are listed under this category:

6.2.2.1 Primary production Vessels

Ice Vessels supplying FBOs that are part the EU destined value chain are divided in two groups[2]:

i. **Coastal vessels -** These vessels carry/maintain fresh fish on ice and are maintained for less than 24 hours.
ii. **Oceanic vessels**- These vessels maintain fresh fish in refrigerated sea water (RSW[3]), ice or ice slurry for more than 24 hours.

These vessels are considered as part of the value chain of activities destined for the EU market thus are to be inspected and listed as internal when they are following regulatory standards and requirements**.**

6.2.2.2 Landing sites

The wharves or ports on which product potentially destined to the EU is landed and used to perform fish operations activities such as fish landing, sorting, handling, fish loading and transportation or other activities. It can be independent or a part of the existing facility already with an EU number

6.2.2.3 Ice Plants

Independent providers of ice (in any shape or form) to vessels, and processing establishments that are part of the EU destined value chain.

[2] This classification does not reflect any type of licensing in terms of fisheries compliance

6.2.2.4 Transporters/fish trucks

Independent providers of transport for fisheries products or ice that are part the EU destined value chain.

6.2.3 External

The commercial operators under this type of listing are ***allowed to export directly if they so choose to a***nd/or can export to EU approved countries who intends to source such fish for further re-export or process for export to the EU. Thus, ensuring chain of custody and traceability it is maintained from an EU listed establishment or vessels.

The approval and inclusion in the list is not a "one off" event, it is based upon compliance by the establishments. If the level of compliance becomes so low that the CA is unable to provide the required official guarantees, then the establishment can be suspended or taken out of the list. In this way the establishment loses the right to export to the EU.

Establishments approved on the External EU list will be recorded on form F17 in Annex 2.

The following type of establishments can be listed under external list upon regulatory compliance only and if they exist in the RMI.

6.2.3.1 Freezer Vessels

Freezer Vessels exporting directly to the EU without the use of land-based premises and/or to landing into EU approved Food Business Operators in RMI or overseas.

This includes Fishing Vessels and Reefers: Vessels providing the service of fishing and storing and or act as storage only and transporting frozen materials for vessels, and/or processing establishments, that are part of the EU destined value chain. They maintain for more than 24 hours by preserving fish on ice, RSW or Brine or long-term cold storage on the vessel

There are no factory vessels fishing in the WCPO.

6.2.3.2 Processing plants

Establishments exporting directly to the EU from their own premises or to EU approved countries sourcing only EU approved fish.

6.2.3.3 Cold stores

Independent establishment that provide the service of storing or consolidating frozen materials for vessels and/or processing establishments for direct exporting to the EU.

6.3 Listings Mechanisms

6.3.1 Submission of Application for Approval

A Fish Business Establishment Operator who wishes to be approved for export of seafood products to all markets shall;

i. In the first instance, through email or by phone notify the CA office that they have the intention to process and export, including to the European Union.
ii. The CA will provide the necessary forms to complete. The operator is to complete form F25A, F26 (vessels) or F27 (transport) in Annex 2.
iii. The operator upon completion of the Form submits to the CA along with copies of the documents indicated below;
    a. General description of the company, facilities, products and process.
    b. The documented prerequisite programs.
    c. The HACCP plans
    d. The system to provide guarantees for the product traceability.
    e. The documented and formalized withdrawal and recall procedures.
iv. The CA Advisor or Manager and or a suitably skilled CA team member will evaluate the documentation provided followed by an onsite verification as per the appropriate form/s listed in (F01- F10) and record their findings.
v. Any non-compliances will result in generation of Corrective Actions Requests to close out these non-compliances in a timely manner.
vi. For vessels before any approval is granted CA inspectors must check the RMI Certificate of Registration under RMI flag, so they are eligible as per the EU vessel listing requirements.

vii. Once the CA is satisfied that the establishment meets all MIMRA licensing, listing and approval requirements, stipulated in the Industry Standards and the verification of any corrective actions as deemed satisfactory, a letter confirming approval for internal listing be sent to the Operators

viii. At the time the official letter is sent to the Operator, the listing becomes effective as of the date of this communication.

ix. The official advice must be on MIMRA letterhead, issued by the Director.

x. All documents obtained and completed as part of the approval process must be kept on file in the CA office or common secure CA filing area.

A summary of checklists to be used is given in the Table below:

Premises or Vessel Type	***Form to be completed on initial application***	***Form to be completed when changes or annual review***
Land-based processing	F25A Application form (company to complete) F01 (CA) F02 (CA) F03 (CA)	F25B Application form (company to complete) F01 (only if changes) F02 (only if changes)
Landing site	F25A Application form (company to complete) F09	F25B Application form (company to complete) F09 (only if changes)
Ice Plant (standalone)	F25A Application form (company to complete) F05	F25B Application form (company to complete) F05 (only if changes)
Transporters	F25A Application form (company to complete) F27	F25B Application form (company to complete) F27 (only if changes)
Cold stores (standalone)	F25A Application form (company to complete) F06	F25B Application form (company to complete) F06 (only if changes)
Coastal Vessel	F25A Application form (company to complete) F26 Vessel data sheet F08	F25B Application form (company to complete) F26 Vessel data sheet (only if changes)
Offshore Vessel	F25A Application form (company to complete) F26 Vessel data sheet F01 F02 F07 F07B	F25B Application form (company to complete) F26 Vessel data sheet (only if changes) F01 (only if changes) F02 (only if changes)

6.4 Important Considerations for the Export Markets

After the CA gives approval notifications to process and export the operators must take note of the following considerations;

i. Operators wishing to export to any market EXCEPT the EU can export products from the date the CA grants approval. Health certification can similarly be issued for such product from this date provided the operator demonstrates

compliance with the Fish Processing and Fish Export Regulation and subsequent requirements of the industry standards pertaining to markets.

ii. Operators wishing to export to the EU must demonstrate they can meet the EU requirements as stipulated in the Industry Standards and the requirements of the Fish Processing and Fish Export Regulations.

iii. Establishments intending to export to the EU can store product as being eligible for the EU from the date of authorization by the CA. However, this eligibility can only be granted when the competent authority provides notification to the EU for new listings and or modifications.

iv. The CA will list premises or send applications to the EU or Member States, as appropriate, once the recommendations have been accepted as complying with the requirements.

v. No EU certification can be provided until the written notification of gazetting by the EU has been received and listed on the EU website, then the certification for export is effective.

Note: The CA accepts no responsibility for products exported to the EU without the CA authorisation and or held up in the EU prior to new premise being listed.

6.4.1 Procedure to request new and modification to the DG SANTE website listing

For inclusions of new listings and modification on the list, the CA will act as follow:

i. Requests for new listings, amendments (new, additions, deletions, modifications) of the lists of establishments authorised to export food of animal origin to the European Union (thereafter requests) must be made by the Competent Authorities of the relevant non-EU country. These requests must be addressed to: European Commission, DG SANTE, Directorate F, Health and food audits and analysis, non-EU Country Listing, Email: SANTE-IRL-NEC-LISTING@ec.europa.eu

ii. The requests are evaluated by Commission staff (DG SANTE, Unit F4)

iii. New Lists Application Form for establishments and fishery vessels

Note: These forms were last updated December 2019. In order to facilitate the listing process, the authorities are advised only to use these updated forms when submitting new requests for modifications to the lists (please submit the Word copy together with scanned copy of the signed and stamped form – the Word format allows copy and paste which reduce the risk of mistakes when transferring data to the TRACES database). In the case of requests for registration of fishery vessels (factory vessels, freezer vessels and reefer vessels), the request must be accompanied by a copy of the vessel registration document, demonstrating that the flag state of the vessel is the same country as that submitting the request.

iv. When the request is considered valid, i.e., when it contains all requested information, it is approved by the Commission and a 'notification' is issued via the TRACES system to all EU countries informing them of requests from non-EU countries which have been approved by the Commission.

Note: It can take from 1 month to 3 months for the results of the notification. **F**rom the date of notification by the EU, and or the date the CA evaluates and deemed the facility to comply and provides notification to the EU, companies can produce products as being eligible for export to EU, but no export will be allowed until official notification of the gazettal is published on the EU website third country listing.

The CA maintains the updated EU approved list.

All official notice and correspondence relating to the listing of each facility must be kept on file accordingly.

6.4.1.1 Guidelines for Generating EU Approval Numbers

Internal and External Listings and EU approval numbers are generated in this format;

Majuro – is given code number 001

Example 1: Processing Plant – 001PPPF20 – 001 (Port code), PP (Processing Plant) PF (last two digits of the upper-case letters of establishments- Pacific Foods), 2020(year of the approval)

Example 2: Freezer Vessel – 001ZVMG20 – 001 (Port code), ZV (Freezer Vessel), MG (initials of the Vessel-Morning Glory), 2020 (year of approval.)

Example 3: Factory Vessel – 001FVIF18 – 001(Port code), FV (Factory Vessel), IF (name of the establishment- Island Fishing) 18 (year).

NOTE: Types of codes used by the EU on Listing are: CS (Cold Store), PP (Processing Plant), ZV (Freezing Vessel), FV (Factory Vessel).

6.4.2 Renewal of Listing

Each licensed premises or vessel will need to re-apply for their license on an annual basis. The procedure and documentation required for renewal is the same for a new establishment application as given in section 6.3.1.

6.4.3 Changes to Listing

The following apply to changes to listings;

i. Operators shall notify the CA officers in writing, of any changes in products, markets, processes, factory or vessel details, changes in location or information that may affect the listing of an establishment for export using CA Form F25B as given in Annex 2. The CA reserves the right to request further information to support the change before deciding as to whether or not the change is approved.

ii. If an establishment, vessel or cold store listed on the external EU list does not process product for export for more than 12 months, the operator of the establishment, vessel or cold store must notify the CA to the reason for not exporting. The CA will give the operator opportunity to provide in writing their justification and the desire should they wish to remain on the list and thus be placed on the regular CA inspection list.

iii. The CA will make the necessary changes to the EU standardised forms and submit to the EU and thus the EU normal process of 1-3 months may apply for the information to be updated.

iv. Business operator should be notified in writing when the changes have been updated on the EU website. Until the Operator have received this written notification the old details shall continue to be used.

v. Official notice/letter must be sent out from the CA informing the operators of the changes to internal and external listings all operators.

vi. All official notice and correspondence relating to the changes must be kept on file.

NOTE 1: Once a fish premises has been removed from the list by the EC, no product will be accepted into the EU even if it was produced before the date of delisting.

NOTE 2: In case a delisted company requests to be re-listed, the operator shall proceed as if it was the first time to initiate the listing process.

Note 3: The EU doesn't permit more than one registration number for the same premises. Changes in contact and names be communicated to the EU using approved forms.

6.5 Suspension, delisting and relisting of establishments.

Any changes in the listing status or suspensions of either exporter or those establishments on the internal CA approved list will be communicated to all parties involved under this scheme by an e-mail notification from the CA.

A copy of such correspondences can be provided to the operator if requested.

6.5.1 Suspension and reinstatement of certification by the CA

i. If the level of compliance in a fish processing premises is unacceptable, certification of fish and fish products to the EU may be suspended in the first instance until such time as the CA considers a satisfactory level of compliance has been attained.

ii. Notification of suspension, and reinstatement of certification, shall be given in writing as recommended through the CA administrative processes through the Director.

iii. If the level of non-compliance is not rectified under an agreed timeframe nor very critical and serious issues noted and not addressed over a long period of time the CA could recommend to the Director to withdraw the premise from the official listing. Penalties and fines can be instituted with a temporary suspension where very serious and critical conditions are not adhered to under the Regulation subjected to the Title 51 of the Marshall Islands Resource Code.

6.5.1.1 Formal delisting

The CA will formally withdraw a premise from the official list if:

i. Suspension of certification remains in effect for greater than 90 days or very critical and or serious non-conformances have been unattended to over a long period of time.

ii. The establishment is not operational or not exporting products to the EU for a period of 12 months and longer.

iii. Required by the operator of a business because they are no longer exporting to the EU.

Note: For point (ii) above, the fish business operator must be given opportunity as in 6.3.5 to response to the reason they are not exporting for more than 12 months and make their intention known should they wish to remain on the EU list.

iv. Premises shall be advised in writing of the delisting and request notification to EU DG SANTE. The notification to the EU be dated and signed by the Director of the Competent Authority and be accompanied by the official seal of the Authority.

6.5.1.2 Voluntary delisting of fish premises for the EU

i. Fish business operators wishing to have its EU listing removed, must write to the CA of its intention. This covers situations where the company is no longer interested in EU market, premises closed, etc.

ii. The CA to notify DG SANTE using its procedure for delisting, by completing the approved forms.

iii. The CA must advise the Fish Business Operator once their listing has been removed and the third country list updated in the website.

iv. Fish premises which request voluntary delisting, shall not export to the EU any product processed on, or after, the date of request for delisting. Fish premises may export product produced prior to the date of request for delisting, provided it will arrive in the EU before the premises is removed from the list by the EC. Any product arriving in the EU, after the premises name has been removed from the list by the EC, will very likely be refused entry to the EU.

6.5.2 Original document in communications with DG SANTE

If there is an EC official delegation in the country, original can be sent via diplomatic channel and also via the email to the DG SANTE, DG 4 Unit and the copy kept in the CA file.

6.6 Export to non-EU countries from EU approved establishments

6.6.1 Separation and identification of "Non-Eligible Products" for the EU

It is very important that operators have mechanisms to separate EU from non-EU products. The following procedure can act as guide.

i. Operators must ensure the physical separation of EU-eligible from fish and fishery products that are non-EU eligible.

ii. Operators must have procedures and methods to distinguish from non-EU eligible fish from EU-eligible fish and fish products.

iii. Where any alleged EU-eligible fish are indistinguishable from non- EU eligible fish and fish products then the former are deemed to be ineligible and must be dealt with accordingly.

iv. Packaged products must be separated per pallet.

v. Vertical stacks of pallets should not mix EU and non-EU market eligibility.

vi. The CA shall perform checks on the adequate separation of EU and non-EU eligible product.

7 Official controls Protocol

The term “official controls” was initially coined by the EU and generally means all those controls a CA uses to assure the safety of the fish and fishery product being exported.

Official control requirements are specified in Article 14 of EU Regulation 2017/625 and Title VI of EU Commissioning Regulation 2019/627 and associated amendments.

1. The RMI CA has the responsibility to assure the safety of all exports of fish and fishery products so this section applies to general exports, exports to the EU and exports to any other country that requires official government-to-government assurances (e.g. China). **The official EU definition indicates that***; “*Official control" means activities performed by the Competent Authority, or by the delegated bodies or the natural persons to which certain official control tasks have been delegated in order to verify:
    a. Compliance by operators with legislation; and.
    b. That animals and goods meet the requirement for issuance of official assurances
2. **Official Control activities** are set up to ensure checks are carried out regularly, on a risk-based approach and with appropriate frequency, so as to achieve the objectives of this framework and the EU food law taking account of:
    - identified risks associated with fish, feed or fishery products, operator activities and the use of products, processes, materials, substances, that may influence feed or fishery products safety, animal health or animal welfare;
    - any information indicating the likelihood that consumers might be misled;
    - feed or fishery products operators’ past record as regards compliance with feed or food law or with animal health and animal welfare rules;
    - the reliability of any own checks that have already been carried out;
    - the reliability and risks of controls performed by the operator
    - and
    - any information that might indicate non-compliance.
3. The design and revision of the official control program be it monitoring plan or inspection/verification based on the outcomes and results is the responsibility of the CA.
4. Official Controls may include but are not limited to:
    - Establishment and vessel approvals;
    - Inspections and audits
    - Sampling and testing
    - Certification

7.1 EU Documented Control Procedures

Article 12 of EU Regulation 2017/625 requires that the Competent Authority has in place “control verification” procedures.

Control verification procedures are defined in Article 3 of the Regulation as “*the arrangements put in place and actions performed by the competent authority for the purpose of ensuring that official controls and other official activities are consistent and effective.”*

This NCP documents the manner and content of official controls carried out by the RMI CA

In addition, EU Official control requirements are specified in Article 14 of EU Regulation 2017/625 and Title VI of EU Commissioning Regulation 2019/627 and associated amendments.

7.2 Sampling and Analysis

7.2.1 General

The CA is responsible for checking histamine and ciguatera levels in fishery products exported from RMI.

1. ***Histamine***:

Each scombroid species tested as follows:

Test	*No. of samples*	*Sampling requirements*	*Method of analysis*	*Frequency*
Histamine	9 samples per species per company exporting	n = 9 c = 2 m = 100ppm M = 200ppm	HPLC	Bi-annually per species per existing company exporting and 4 monthly for new companies

2. ***Ciguatera***: No ciguatoxic species from any ciguatoxic affected area shall be allowed for export.

7.2.2 EU Requirements

Article 34 of EU Regulation 2017/625 requires sampling and analysis for official control purposes to be conducted in a manner that meets EU requirements or alternatives in the absence of EU legislation or other legitimate reasons.

Article 70 of the EU Commission Implementing Regulation 2019/627 requires the following tests to be carried out as part of the "*practical arrangements"* of official controls:

- Organoleptic examination
- Histamine
- Residues and contaminants
- Microbiological checks
- Parasites
- Poisonous fish

Details on sampling and testing required are summarised in Annex 1 and more detail is given below.

7.2.3 Organoleptic Checks

Council Regulation 2406/1996 requires checks on organoleptic levels and this should be overseen by the CA. Sensory properties of fishery products are an important indicator of spoilage. The CA officials are expected to conduct sensory evaluation of Fishery Product (FP) whenever they carry out their official verification and including processing verification activities. Therefore, the following may apply:

Option 1: Company conduct the organoleptic assessment: In the case of the company conducting their own organoleptic assessment, the CA inspector(s) could monitor and verify that the assessment is carried satisfactorily. If the CA is satisfied, then:

- Sight and stamp the sensory evaluation form using the CA official stamp
- Sign and date the evaluation form

Request a copy for CA records and file along with company inspection records.

Option 2: CA conducts own organoleptic assessment: This applies during any formal or official verification visit including landing and processing verification activities. The following procedures should be followed:

- The CA should assess a minimum of 5 fish of the same species and also measure the back bone temperature (BBT) and the central back bone temperature (CBT) and record it on the prescribed form.
- Only FP with freshness index from 1.5 to 3 should be allowed for export
- Reject FP that falls below 1.5 freshness indexes.
- Form is filled and retained in the office by the CA.

Note CA will perform their own organoleptic assessment (option 2) at every vessel unload and every 3 months at a land-based facility.

7.2.4 Histamine

Histamine monitoring is carried out on species of the following families:

Scombridae, Clupeidae, Engraulidae, Ponatomidae, Scombresosidae, Coryphaenidae.

Histamine monitoring would be based on the sampling frequencies and details as given in Annex 1. Each sample shall be treated as single samples and composite samples shall not be acceptable.

This sample is independent of the volumes exported by the listed facility. The sample would be drawn of whatever lot of tunas being processed at the time of sampling.

A sample is defined as individual fish of the same species from the same lot.

7.2.5 Residues and contaminants

Commission Regulation 1881/2006 specifies the residues and contaminants that must be tested for fish and fishery products. This includes testing for:

- Heavy metals (lead, cadmium and mercury)
- Inorganic tin
- Dioxins and PCBs
- Polycyclic aromatic hydrocarbons (PAHs)

7.2.6 Heavy metal (Lead, Cadmium and Mercury)

Frequency of sampling and testing details for heavy metals are given in Annex 1.

Sampling officers should also take systematic records of weights or lengths of each fish species sampled in order to monitor the spread of heavy metal accumulations in year thus can take appropriate measures to prevent breaches of any set standard.

7.2.7 Inorganic Tin

Frequency of sampling and testing details for inorganic tin are given in Annex 1. Note inorganic tin testing is only required for canned fish products.

7.2.8 Dioxins and PCBs

Frequency of sampling and testing details for dioxins and PCBs are given in Annex 1.

Samples will be sent to accredited laboratory, approved and or recognized by the CA, for such analysis.

However high levels are very unlikely in the species exported, as referenced on: "Background note on EFSA risk assessment related to the safety of wild and farmed fish (Request N° EFSA- Q-2004-23) July 2005. *http://www.efsa.europa.eu/etc/medialib/efsa/press_room/questions_and_answers/1015.Par.0001.File.dat/qa_contam_swaff_en1.pdf*

7.2.8.1 ***PAHs***

Frequency of sampling and testing details for PAHs are given in Annex 1. Note PAH testing is only for smoked fish products.

7.2.8.2 ***Microbiological Checks***

Commission Regulation 2073/2005 specifies microbiological checks to be carried out on fish and fishery products. Currently the only relevant test for fish and fishery products exported to the EU from RMI is histamine which was covered in previous section.

7.2.9 Parasites

Regulation (EC) no. 2074/2005 and annex III, section VIII, chapter II, art. 4, of Reg. (EC) no. 853/2004 defines the requirements in regards to parasites monitoring. The CA could not find references of pathogenic parasites in the species exported (tunas) as they are highly migratory; furthermore, there is no presence of large colonies of marine mammals in the region that could host pathogenic parasites. However, as required under the official control obligation, CA officials will include visual inspection for parasite on every organoleptic assessment conducted by CA officials.

7.2.10 Poisonous fish

The following species of poisonous fishery products are prohibited;

Species of Tetraodontidae, Molidae, Diodontidae, Canthigastridae or other known toxic species.

Species of family Gempylidae (Oilfish-Ruvettus pretiosus and Escolar-Lepidocybium flavobrunneum) may only be placed in the market in wrapped packed form and must be properly labelled.

Fishery products containing biotoxins such as ciguatera or other toxins dangerous to human health are prohibited for export to the EU.

7.2.11 Other Checks

1. Water and Ice

Directive (EC) 98/83 specifies the quality requirements for water intended for human consumption and requires operators to demonstrate compliance with the parameters specified in this regulation. Water and ice samples shall be collected as detailed in Annex 1 and sent to an accredited laboratory for analysis.

The testing requirements, tolerance levels and methods of analysis are given in Annex 1.

2. Traceability

EC Regulation 2017/625 requires the CA to oversee the traceability of products placed onto the European market. The CA will perform traceability checks at least once per month on listed establishments.

7.2.12 The Republic of China Requirements

The sampling and testing requirements for the Republic of China market is given in Annex 1.

7.3 Regulatory Verification

7.3.1 General

Audits will be performed for those premises and facilities required to be licensed by the CA.

Audits are a vital part of the obligations of control by the CA. Audits can range from complete verification of site or facility activities to more focused verification of particular aspects of a site or facility. Depending on the type of process involved, and whether a land-based facility or a vessel, specific checklists can be used to focus the attention into the most relevant regulatory aspects.

These checklists have been designed based on the requirements of:

- Applicable parts of EU Regulations 852 and 853/2004 and 2017/625
- The RMI Industry Standards
- The Manual for the Execution of Sanitary Inspection of Fish ACP-SFP

The checklists are given in Annexes 16.3 and 16.4 of this NCP.

7.3.2 Types of audits

Audits are a vital part of the obligations of control by part of the CA. They are an important element of official control.

These audits can be directed/specific to a particular aspect, or general.

Depending on the type of process involved, and whether a land-based facility or a vessel, specific checklists are used to focus the attention on the most relevant areas.

Under the RMI context, the CA officers (Fish Safety Inspectors) will perform the following types of verification audits:

7.3.2.1 Documentary Check

A first documental verification takes place as soon as an establishment submits an initial request for approval with the purpose of exporting fish and fish products.

The verification will comprise of a check on the documents submitted as part of the initial application for approval, and will include:

i. General description of the company, facilities, products and process.
ii. The description of operations followed.
iii. The documented prerequisite programs.
iv. The HACCP plan (whenever necessary).
v. The system to provide guarantees for the product traceability.
vi. The documented and formalized withdrawal and recall procedures.

Checklists F00, F01 and F02 will be used to record results from this review.

7.3.2.2 Full verification for approval:

i. Verification takes place once the documentary check has been completed. It includes an in-depth verification of information provided at the time of application.

ii. Full verification takes place when the factory is in operation. It includes an in-depth verification of physical settings, operational conditions and control strategies, concerning the entire production process.

iii. The CA officers / should evaluate the application of the HACCP plan and all pre-requisite programs, including:

   a. The design and maintenance of premises and equipment.
   b. The general hygiene conditions of building and surroundings.
   c. Water supply and water quality management system, detailing the internal distribution net, treatment if any, quality monitoring plan and related data filing.
   d. Ice production, internal distribution and quality monitoring
   e. The absence of cross contamination/air currents risks (lay-out considerations).
   f. Personnel health and hygiene control (including training).
   g. Sanitary filtering of personnel arrangements, toilets and dressing facilities.
   h. Facilities and equipment cleaning and sanitation plans (methods, schedules, chemicals used and approvals)
   i. Raw materials acceptance criteria and controls (freshness, temperature, transport, lots identification)
   j. Storage conditions and specifications for raw materials such as ingredients, additives or packaging
   k. Waste disposal system.
   l. Labelling system and lots codes, providing effective traceability.
   m. Pests control plan. Insects, rodents and other undesirable presences control.
   n. Equipment and facilities preventive maintenance plan.
   o. Temperature controls (storage and in-process where relevant).

iv. The CA officers will observe and record deficiencies and non-conformities or deviations as they are found. Inspection forms / checklists are used to record findings.

v. Clearly identified deviations or non-conformities with the regulatory requirements or the declared procedures involving serious potential food safety problems will be immediately brought to the attention of the establishment management. Corrective action should be immediately implemented or planned accordingly to the seriousness of the potential problem.

vi. For ease of use by the verifier, records are assessed and rated at the end of each item during the verification, and are later compiled in the final report.

vii. The date of verification is set out with the company.

In addition to Checklists F00, F01 and F02 that will be used to record results from the documentation review, the following onsite checklists are also used:

- F03, F04, F05, F06, F07, F07B, F08, F09, F10 as appropriate

7.3.2.3 Full verification for approval renewal

Each establishment or vessel granted approval by the CA is subjected to an annual review. Full verification is usually undertaken as part of the full verification for either approval or renewal. Refer to 7.3.2.2

Any, all or part of the following checklists as deemed necessary may be used to record findings

The date of verification is set out with the company.

- Checklists F00, F01, F02 and then F04, F05, F06, F07, F08, F09, F10 as appropriate

7.3.2.4 Partial verifications / follow ups

One or more of the elements may be the object of verification.

During routine verifications, one or more elements may be observed to require in-depth assessment, this is when partial verification can be carried out.

Partial verification maybe undertaken without notice and may have the objective to assess/check that conditions during normal operations are equivalent to those during formal verification

The CA Officer should observe and record deviation or non-conformities as they are found and/or obtain product samples as required.

Any, all or part of the following checklists deemed necessary may be used to record findings:

Checklists F00, F04, F05, F06, F07, F07B, F08, F09, F10 as appropriate

7.3.2.5 Random Spot checks

i. Depending on the logistical capacity and utilization of precautionary principles, additional non-programmed verifications could be performed. Change in the risk environment may indicate the need for additional checks:
    a. at certain periods
    b. in certain areas
    c. types of process
    d. raw materials
    e. other reasons

ii. Spot check verifications/inspections are always undertaken without notice.

iii. Examples. If there is change in the process flow in the HACCP plan, new product line added without CA notice, production still continuing without shut down, new ingredients or issues other concerns worth investigating by the CA.

Any, all or part of the following checklists may be used to record findings:

- Checklists F00, F04, F05, F06, F07, F07B, F08, F09, F10 as appropriate

7.3.3 Specific checks

Exporters to the EU will also be required to have checks on organoleptic quality as well as traceability according to the prescribed frequency.

Checklist F12 will be used to record the outcome from an organoleptic check and checklist F11 will be used to record the outcome from traceability check.

7.3.4 Summary of Checklist Use

Checklist Ref. No.	***Overview of Form***	***When Used***
F00	Cover page for all CA inspection checklists except F13 AND F14	After completing inspection checklists F01 – F12 to summarise findings and determine next verification visit frequency
F01	Documental verification of HACCP	For any new company wishing to export and every year for existing companies (HACCP Desk Top review)
F02	Verification of pre-requisite and supporting programmes	For any new company wishing to export and every year for existing companies (pre-requisite and supporting programme desk top review)
F03	Infrastructure condition (pre- and re-approval)	For any new company wishing to export and every year for existing companies – initial or annual renewal site visit
F04	Inshore processing premises hygiene and HACCP	For on-going verification visits to a land-based premises according to the verification frequency in the NCP
F05	Verification of the condition of ice plants (EU)	Only for on-going verification visits to standalone EU approved ice plants according to the verification frequency in the NCP
F06	Verification of the condition of cool stores (EU)	Only for on-going verification visits to standalone EU approved cool stores according to the verification frequency in the NCP
F07	Verification of the condition and systems on offshore vessels (EU)	Only for on-going verification inspections on EU approved offshore vessels according to the verification frequency in the NCP
F07B	Fuel Monitoring form	To be used by the CA to check for possible dual use of fish holds
F08	Verification of the condition and systems on coastal vessels (EU)	Only for on-going verification inspections on EU approved coastal vessels according to the verification frequency in the NCP
F09	Verification of the condition of landing sites (EU)	Only for on-going verification inspections on standalone EU approved landing sites according to the verification frequency in the NCP

Checklist Ref. No.	***Overview of Form***	***When Used***
F10	Verification of the condition of transporters (EU)	Only for on-going verification inspections of standalone EU approved transporters according to the verification frequency in the NCP
F11	Verification of traceability (EU)	Only for the verification of traceability of fish from premises approved to export to the EU according to the verification frequency in the NCP
F12	Organoleptic Evaluation	for the organoleptic evaluation of fish from premises approved to export to the EU according to the verification frequency in the NCP
F13	Corrective Action Request	To be used whenever a non-compliance is discovered as part of verification checks
F15	CA Training Record	To be used to trace individual Inspection and Certification Unit inspector's training
F16	List of Approved Export Establishments	To be used to track establishments that are approved by the CA for general export from RMI
F17	List of External EU operators	To be used to track establishments, vessels and cold stores that are approved by the CA for DIRECT export to the EU market
F18	List of Internal EU operators	To be used to track establishments, vessels, cold stores, landing sites and transporters that are approved by the CA for INDIRECT export to the EU market i.e. to handle product that is ultimately destined for the EU market but not exported directly
F19	Annual CA Review	To be used by the CA Team Leader once a year to review the National Control Plan and CA activities
F20A	Internal Audit form – Rapid Alert and Formal Framework	To be used once a year as part of the internal audit process
F20B	Internal Audit form – Monitoring programme and Laboratories	To be used once a year as part of the internal audit process
F20C	Internal Audit form – Listing Protocol	To be used once a year as part of the internal audit process
F20D	Internal Audit form – Inspection and Certification	To be used once a year as part of the internal audit process

Checklist Ref. No.	***Overview of Form***	***When Used***
F20E	CA Corrective Action form	To be used by CA staff to record corrective actions to the CA system.
F21	CA Sampling form	To be used to record and report CA sampling carried out for official controls
F22	CA Equipment List	To be used to record and track serial numbers of all CA equipment
F23	CA Equipment Calibration Record	To be used to record annual calibrations of CA equipment
F25A	Exporter Registration form	To be completed by companies and submitted to the CA for initial and renewal of facilities and establishments
F25B	Amendments to Approvals form	To be completed by companies and submitted to the CA when amendments need to be made to facility and establishment approval details.
F26	Vessel data sheet	To be used prior to approval of any EU vessel (internal or external EU list)
F27	Transport Data sheet	To be used for transporters wishing to gain EU approval.
F28	Imported Food Inspection form	To be used when an inspection is carried out by CA on fish and fish products being imported into the country
F29	Health Certificate Export Information form	To be completed by the operator when he or she wishes to get a CA issued Health Certificate
F30	Request to Change/Reissue Health Certificate form	To be completed by operators when they need to change details on their health certificate or when a health certificate is lost

7.3.5 Classification of conformity and non-conformity

7.3.5.1 The result system

The basis of the evaluation system responds to two key decision factors:

- *The issue in consideration is clearly distinct in the checklists as per the requirements for compliance*. In this case its level of conformity will decide the outcome.
- *The issue in consideration is **not** clearly distinct in the checklists as per the requirements for compliance.* In this case its level of conformity will be decided on the basis of the severity and likelihood of the potential risk over the fitness for purpose as food, for the raw material or product under direct threat.

7.3.5.2 Evaluation of Compliance By Topic

In the majority of the following forms, any deficiencies or non-conformities identified by the evaluation should be classified according to their severity. The scale used is based on four classifications, which correspond to the definitions of the following table. The abbreviations set out in the brackets on the forms serve as a guide to the inspectors.

Critical Deficiency (Cr):	any condition or malpractice observed in the establishment that is considered to have a direct and adverse health effect to the consumer leading to the fish becoming unsafe or unwholesome.
Serious deficiency (Se):	any condition or malpractice observed in the establishment that can preclude proper implementation of hygienic practices or obtaining appropriate level of hygiene condition; leading to the production of a contaminated or spoiled fish product, which can lead to serious food safety implications if not adequately addressed or controlled.
Major deficiency (Ma):	any condition or malpractice observed in the establishment, which precludes general hygiene and structural elements and can indirectly and or directly have an impact of food safety but can lead to a serious deficiency if not adequately addressed.
Minor deficiency (Mi):	any observed condition or malpractice, which does not conform to the sanitary requirements, but is neither major, serious nor critical.

At the end of the audit the overall results should be compiled based on the sum of deficiencies in each category. The following tables shows how the number and nature of the non-conformities in each category can be used to establish an overall rating for the level of risk.

7.3.5.3 Rating of fish handling and processing establishments

Rating of the Establishment	Number of minor deficiencies	Number of major deficiencies	Number of serious deficiencies	Number of critical deficiencies
A	0 to 6	0 to 5	0	0
B	7 or more	6 to 10	1 to 2	0
C	NA	11 or more	3 to 4	0
D (not approved)	NA	NA	5 or more	1

*NA: Not applicable in this case.

Auditing Protocol

All audits will be done using the prescribed checklist in Annex 16.3.

7.3.6 Verification Frequency

7.3.6.1 Processing Establishments – External List

Based on the outcomes of verification the following variations will apply:

CATEGORY	STATUS	FOLLOW UP INSPECTION/VERIFICATION FREQUENCY
A	Very Good	Every 6 months
B	Good	Every 3 months
C	Acceptable	Every month
D	Deficient	No processing until non-compliances rectified
Action to be taken by the CA	1. Record on Compliance database/ CA records	

	2. Verification reports evaluated and decided if there is need for special action to be taken, 3. The CA decides if there is need for an immediate suspension or if a short time be given to correct the non-compliance

7.3.6.2 Processing Establishments – Internal List

Based on the outcomes of verification the following variations will apply:

CATEGORY	STATUS	FOLLOW UP INSPECTION/VERIFICATION FREQUENCY
A	Very Good	Every 6 months
B	Good	Every 3 months
C	Acceptable	Every month
D	Deficient	No processing until non-compliances rectified
Action to be taken by the CA	1. Record on Compliance database 2. Verification reports evaluated and it decided if there is need for special action to be taken, 3. The CA decides if there is need for an immediate suspension or if a short time be given to correct the non-compliances.	

7.3.6.3 EU Vessels

Based on the outcomes of verification the following variations will apply:

CATEGORY	STATUS	FOLLOW UP INSPECTION/VERIFICATION FREQUENCY
A	Very Good	Next verification on 1st unload after 6 months +/- 15 days.
B	Good	Next verification on 1st unload after 3 months +/- 10 days.
C	Acceptable	Next verification on 1st unload after 1 month +/- 5 days.
D	Deficient	Continuous inspection to up-grade once the critical deficiencies are corrected
Action to be taken by the CA	1. Record on Compliance database 2. Verification reports evaluated and it decided if there is need for special action to be taken, 3. The CA decides if there is need for an immediate suspension or if a short time be given to correct the noncompliance	

7.3.6.4 Cold Stores, Landing Sites, Ice Plants or Transporters

Cold stores, landing sites, ice plants or transporters will be subject to external verification every quarter (3 monthly).

7.3.6.5 New Operators

Any new operators (whether it be land-based premises or EU vessels, cold stores, landing sites, ice plants or transporters will commence inspections at the most frequent verification frequency and future frequencies will be dependent on the outcome of the initial inspection.

7.3.6.6 HACCP Plan, SSOP/GMP and Infrastructure Reviews

These are to be completed before an establishment commences operation and again annually after this.

7.3.6.7 Suppliers to EU exporters

The frequency of regulatory verification for establishments in full compliance will be fixed at four annual visits.

Time granted for completion of corrective actions or suspension of EU supplier status will be decided on case-by-case basis.

7.3.6.8 Traceability Checks

The frequency of checks on traceability should be at least monthly for exporters of fishery products to the EU.

7.3.6.9 Organoleptic Checks

The frequency of organoleptic checks should be at least monthly for exporters of fishery products to the EU.

7.3.6.10 Parasite Checks

The frequency of parasite checks should be at least monthly for exporters of fishery products to the EU.

7.3.7 Process in the case of failure on verification visit

Where processing and export facility has scored a CR or has failed an inspection or the product has failed to meet the minimum requirements of the Standards, an investigation shall be carried out to determine if the failure was due to the Operator's negligence or due to other factors.

Consequently:

i. if the Operator is found to be negligent and has failed to exercise due care the failed rating shall stand;
ii. where it is determined that the Operator is not responsible due to other factors the CA inspector may limit enforcement action to product action or request a recall.

When a critical rating is given for any non-compliance the CA reserves the right to suspend operation and/or certification and take other corrective action.

7.3.8 Penalties for Non –Conformities

Actions taken for non-conformities will be taken by the CA in accordance to breaches stipulated under RMI legislation and procedures given in this National Control Plan.

Time granted for completion of corrective actions or suspension of EU supplier status will be decided on case-by-case basis.

8 Controls pertaining to Foreign flagged vessels in RMI

Guidance on this issue is found in the provisions of articles 8, 18 and 126 of the Regulation (EC) No 2017/625.

For these vessels the CA made the following classification:

8.1 Flagged in countries not authorized by DG SANTE

While EU listed processors and cold stores are free to receive fish originating from non- EU authorised countries, operators must ensure the physical separation of EU-eligible seafood products from seafood products ineligible for the EU. Operators must have procedures and methods to distinguish ineligible seafood products from EU-eligible seafood products.

Raw materials and products from these vessels are NOT eligible for EU exports and certification

8.2 Flagged in countries authorized by DG SANTE

Maintaining sanitary EU eligibility is paramount, hence ONLY the following scenarios apply for raw materials unloaded from a foreign flagged vessel and destined directly or indirectly to the EU market.

8.2.1 Direct landings for storage and/or processing

Only fishery products unloaded from a factory or freezer vessel flying the flag of an authorised third country, and that vessel shall appear on a list drawn up and updated in accordance with the procedure set out in the EU regulations.

However,[3], if a vessel is not on the list of vessels approved for exports, it may also be eligible if:

i. On the basis of a joint communication from the CA of the country of which the vessel is flagged, on condition that:
    a. The third country appears on the list of third countries from which imports of fisheries products are permitted.
    b. The CA of that third country has inspected the vessel and has declared that it complies with Community requirements.

ii. Or
    a. Under a MoU with the CA of the country of origin, delegates it capacity to the local CA to regularly inspect the vessel to ensure that it continues to comply with Community requirements, while operating in its waters.

Only Fishery Products originating from vessels under these conditions and exported directly, or hold in cool stores and then exported, or processed and the exported would be eligible to EU export certificates.

8.2.2 Unloading for containerization

If a freezer vessel flying the flag of an EU Member State or an authorised third country, and appearing on a list drawn up and updated in accordance with the procedure set out in the EU requests using RMI as a port containerization and or temporary storage, the following precautions shall apply:

i. The CA will be informed by the fisheries compliance section and place a CC officer with the unloading monitor to d control:
    a. The general conditions of the landing site
    b. The unloading of the vessel, the sorting on the wharf and loading onto containers of raw materials.

[3]By way of exemption from Article 11 of *the Commission Delegated Regulation (EC) to Regulation (EC) No 2019/625 of 4th March 2019 supplementing EU Regulation 2017/625*

9 Export Certification Processes

9.1 General Certification

Health certificates for any market OTHER than the EU will be issued only for product processed in establishments that are listed on the internal CA list.

Companies shall request an official CA Health Certificate by completing the form given in Annex 2.

A copy of the health certificates to be used is given in Annex 2.

- Non-EU General Health certificate
- Hygienic Handling certificate
- EU specific Health certificate
- Fishmeal Health certificate
- Chinese Health certificate

The table given in Annex 2 provides an overview of the situations in which health certificates can be issued by the RMI CA for product off vessels.

It is the exporters' responsibility to request export certificates. The request must be made at least 48 hours before the date of dispatch of the shipment otherwise the exporter could be refused certification.

Only listed exporters may apply for official assurances regarding their products.

Only export certificates, produced on official CA stationery, shall be used.

The certificate must provide an accurate description of the identity of the approved processor of the goods, the type of fish being shipped, the quantity of product being shipped, and the final destination of the goods.

Various scenarios and the certificates to be issued are given in Annex 2.

9.2 Export Certification to EU Market

All EU Health Certification uses the EU TRACES system. All the procedures pertaining to this uses the EU TRACES Manual for completing the electronic certification.

i. The developer and administrator are the EU and any issues concerning IT and certification pertaining to online system are addressed to the relevant personal in the EU TRACES.

ii. The local contact administration is the RMI CA and contact point will be the CA advisor and the Senior CA officer who will enable users both from the industry and the CA to have access to validate and certify the Health Certificate.

iii. Any updates in EU TRACES. will be communicated to the relevant contact point.

iv. EU Health certificates will only be issued for product processed in establishments that are listed on the EU Approved External Establishment list.

v. Certificate format is to be identical with that of Regulation (EC) 2019/628. A single, original, fully completed EU Health certificate must accompany each shipment.

vi. The certificate provides the *official guarantees* from the MIMRA CA and the Republic of the Marshall Islands to the EU regarding the relevant provisions of EC Regulations.

9.2.1 Requirements of the EU Health Certificate

Only listed exporters may apply for official assurances regarding their products.

i. The certificate must provide an accurate description of the identity of the approved processor/establishment of the products, the type of fish being shipped, the quantity of product being shipped, and the final destination of the goods.

ii. Information published on the EU List must match the information about the exporting establishment that is listed on the certificate and the product labels.

iii. RMI exporters should ensure that their products are accompanied by the proper EU documentation prior to being exported out of RMI and if transhipped via another country.

iv. Certificates will be signed and stamped in ink that is a different colour than the remaining text on the certificate.

v. EU Health certificates will only be issued for product obtained and processed in establishments that are listed on the EU Approved Establishment list and meets the certification requirement under *Article 126 of EU Regulation 2017/625.*

vi. EU Health Certificates are obtained online via EU Trade Control and Expert Systems (TRACES) web-based 'online' system through their website https://webgate.ec.europa.eu/sanco/traces/.

vii. Online TRACES registered user criteria;

a. Only MIMRA EU TRACES registered fish business operators i.e. those on the EU approved establishment list, exporters and their registered authorized users are allowed to access online e-health certificate through their login account.

b. CA officers whose names are registered in the TRACES system have access to the online e-health certificate using their login accounts.

c. The CA EU TRACES National Administrator is responsible for approval and registration of the CA Officers and the Operators.

d. Process on new account creation, approval and activation are all detailed out in the *EU TRACES User Manual Import Certificates, Part 1 intended for economic operators*.

9.2.1.1 Preparation of the EU Health Certificate

It is the exporters' responsibility to login to the EU TRACES System, complete the online certificate and submit on line for verification and validation by the authorized CA officer.

i. The completed HC is to be lodged online and other supporting documents to be manually lodged with the CA for cross referencing and approval. If need be on site verification will be carried out.

ii. Exporters must ensure that the information completed one online is correct prior to it being lodged for validation by the CA officer.

iii. The certificate will be completed in an official language of the country where the shipment will be subject to import controls. (Port of first entry).

iv. The information to be completed on the Health Certificate must comply accordingly to the descriptions (next section) identified for each of the respective boxes shown in the HC.

v. In the event that the exporter is unable to access online certificate due to system break down or disaster, CA Officer shall assist in preparation of the certificate on-line and validation of the same.

vi. As a requirement under the EU TRACES rule, the e-certificate must be prepared within or on the 10th day from the tentative date of export. TRACES System will not accept new certificates prepared prior to the 10th day or after the shipment date.

vii. In accordance with Chapter VII of EU Reg 2017/625on Health Certificate requirements;

a. Health Certificate will be issued only for products processed in EU approved and listed facility.

b. Health Certificate be drawn up in the official language of the third country (exporting country) and the first port of entry in which the boarder inspection takes place, or be accompanied by a certified translation into that language.

c. The certificate must be signed and must bear the official stamp on all pages if more than one page. ONLY ONE hand signed copy.

d. **Certificate stamped in colour different from the colour of the certificate using CA Official Stamp** at the bottom of each certificate page and within the crossed-out section. *The CA uses the Red Ink as the official colour for the stamp. The certificate is prepared and validated online, but still needs to be printed out as hard copy for stamping and signature.*

e. Certificate must be signed using colour different from the colour of the certificate. CA can use **red ink biro** except advice by the exporter to use other ink biro as the official ink colour.

f. The original version of the certificate must accompany consignments into EU

g. Certificate must consist of sequences of pages numbered so as to indicate that it is a particular page in a finite sequence.

h. Health Certificate must bear a unique reference number. Certificate consist of more than one page. Each page must indicate this number. The EU TRACES System automatically generate unique reference numbers.

i. The certificate must be issued before the consignment leaves the control of the competent authority of the third country.

j. Each Health Certificate is issued per Invoice therefore list of container numbers and seal shall be stated clearly on the HC with product description including other required information. Additional sets of export certificates to cover alternative destinations for the same consignment is not allowed.

9.2.1.2 Details of the EU Health Certificate

The official description of the boxes in detail is given in Annex II of EU Regulation 2019/628. . The TRACES User Manual Part I also provides explanation on filling in of the information and the manual can be accessed via the TRACES site. The manual does refer to the Commission Decision.

The TRACES Manual provides in detail step by step, point by point on how to complete the HC.

The following briefly explains what main information should be filled in each box.

General: Complete the certificate in capitals. To positively indicate any option, please tick or insert an X.

Where mentioned, the ISO codes use the two-letter country code in compliance with the international standard ISO 3166 alpha-2.

9.2.1.2.1 Part I - Information on the consignment shipped

Country: RMI

Box I.1. Consignor/Exporter: the name and address (street, city and region, province or state, as appropriate) of the natural or legal person dispatching the consignment that must be located in the third country, except for the re-entry of consignments originating from the European Union.

Box I.2. Certificate reference No: the unique mandatory code assigned by the competent authority in accordance with its own classification. This box is compulsory for all certificates not submitted in IMSOC.

Box I.2.a IMSOC reference No: the unique reference code automatically assigned by IMSOC, if the certificate is registered in IMSOC. This box must not be completed if the certificate is not submitted in IMSOC.

Box I.3. Central competent authority: name of the CA issuing the certificate.

Box I.4. Local competent authority: if applicable, the name of the local CA issuing the certificate.

Box I.5. Consignee/Importer: name and address of the natural or legal person to whom the consignment is intended in the EU or country of destination in the case of transit. However, this information is not compulsory for consignments in transit through the European Union.

Box I.6. Operator responsible for the consignment:

The name and address of the person in the European Union in charge of the consignment when presented to the BCP and who makes the necessary declarations to the competent authorities either as the importer or on behalf of the importer.

For products in transit through the European Union: the name and address are compulsory.

For fish: the name and address are optional.

Box I.7. Country of origin:

The name and ISO code of the country where the goods were produced, manufactured and packaged.

In the case of trade involving more than one third country (triangular trade), a separate certificate must be completed for each country of origin.

Box I.8. Region of origin: Not applicable: (*only for frozen or processed bivalve molluscs*)

Box I.9. Country of destination: the name and ISO code of the European Union country of destination of the consignment.

Box I.10. Region of destination: see box I.8.

Box I.11. Place of dispatch: the name, address and approval number, if required by the European Union legislation, of the holdings or establishments from which the consignment comes from.

Box I.12. Place of destination:

Except in the case of storage of products in transit, this information is optional.

For the placing on the market: the place where the products are sent for final unloading. Give the name, address and approval number of the holdings or establishments of the place of destination, if applicable.

For storage of products in transit: the name, address and approval number of the warehouse in a free zone, the customs warehouse or the ship supplier.

Box I.13. Place of loading:

The name of the city and category (for example, establishment, holding, port or airport) of the final place where the products are to be loaded in the means of transport for the journey to the European Union. In the case of a container, state where it is to be placed aboard the final means of transport to the European Union. In the case of a ferry, indicate the place where the truck embarked.

Box I.14. Date and time of departure:

The date when the means of transport departs (aeroplane, vessel, railway or road vehicle) departed.

Box I.15. Means of transport: means of transport leaving the country of dispatch.

Mode of transport: aeroplane, vessel, railway, road vehicle or other. 'Other' is not applicable to fish and fishery products

Identification of the means of transport: for aeroplanes the flight number, for vessels the ship name(s), for railways the train identity and wagon number, for road transports the registration number plate with trailer number plate if applicable.

Box I.16. Entry BCP: state the name of the BCP and its identification code assigned by IMSOC.

Box I.17. Accompanying documents:

The type and reference number of documents must be stated when a consignment is accompanied by the other documents such as CITES permit, permit for invasive alien species (IAS) or a commercial document (for example, the airway bill number, the bill of lading number or the commercial number of the train or road vehicle)

Box I.18. Transport conditions: category of required temperature during the transport of products (ambient, chilled, frozen). Only one category may be selected.

Box I.19. Container No/Seal No: if applicable, the corresponding numbers.

The container number must be provided if the goods are transported in closed containers.

Only the official seal number must be stated. An official seal applies if a seal is affixed to the container, truck or rail wagon under the supervision of the competent authority issuing the certificate.

Box I.20. Goods certified as: state the purpose for the placing on the market of the animals or intended use for products as specified in the relevant European Union health certificate.

Purposes of relevance to CA's for fish and fishery products include:

Canning industry: concerns, for example, tuna intended for the canning industry.

Human consumption: concerns only products intended for human consumption for which a health or veterinary certificate is required by European Union legislation.

Box I.23. Total number of packages: the number of packages for products. In the case of bulk consignments, this box is optional.

Box I.24. Quantity:

The total gross and net weight in kilograms.

Total net weight: this is defined as the mass of the goods themselves without immediate containers or any packaging.

Total gross weight: overall weight in kilograms. This is defined as the aggregate mass of the products and of the immediate containers and all their packaging, but excluding transport containers and other transport equipment.

Box I.25. Description of goods: Give a description of the goods or use the titles as they appear in the World Customs Organisation's Harmonised System. This customs description shall be supplemented, if necessary, by any information required to classify the goods including the species, type of treatment, approval number of establishments together with ISO country code (processing plant, cold store), number of packages, type of packaging, batch number, net weight, and final consumer (i.e. products are packed for final consumer).

Species: the scientific name or as defined in accordance with European Union legislation.

Type of packaging: identify the type of packaging according to the definition given in the United Nations Centre for Trade Facilitation and Electronic Business).

Part II - Certification

Box II. Attestation for fish and fishery products.

Box II.a. Certificate reference No: same reference code as in box I.2.

9.2.1.3 Additional exporter declarations, endorsements, etc.

An export certificate, once produced, must not be modified with alterations, deletions, additional declarations or endorsements.

Commercial information such as contract numbers and bank arrangements must not be entered on an export certificate.

Commercial inventory references to products, including product item numbers, are valid product identifications. The references may be placed with the product description on the export certificate and are verifiable.

9.2.2 Numbering of export certificates

Certifying officers must ensure all export certificates are issued with a unique shoulder numbering sequence. In applying shoulder numbers to export certificates the following directions apply:

i. The entire number must be in the same style/font.
ii. Spaces are not permitted.
iii. Certificate numbers must be issued sequentially
iv. Shoulder numbers must not be repeated within any two-year period.
v. All numbers in a sequence must be accounted for in the records kept by certifying officers, whether they have been used for issued export certificates, or not.
vi. With the use of the EU TRACES System, numbering is automatically generated by the system.

9.2.3 Date stamping of export certificates

Certifying officers, issuing export certificates, must enter the actual date the export certificate is issued in the designated box clearly. The date entered must be the actual date of issue of the export certificate and not any other.

The export certificates must be dated and stamped prior to date of shipment and before the consignment leaves the control of the competent authority.

9.2.4 Multiple certification not permitted

Certifying officers may issue only one export certificate set per consignment.

Additional sets of export certificates to cover alternative destinations for the same consignment must not be issued.

9.3 Re-issue of Export Certificate(s)

i. Formal CA involvement with the export of any product ceases when the consignment leaves RMI.
ii. The CA will assist with problems that occur during the voyage, or at the border post of the country for which the export certificate has been given. Replacement export certificates are sometimes required for changes to consignor or destination en-route or for inaccuracies in the export certificates discovered by the border inspectors or other parties.
iii. Replacement of incorrect official assurances for any reason is not an automatic event and each case is evaluated individually.
iv. To obtain a replacement export certificate, the exporter must provide, to the original signing officer, a signed statement detailing the reasons for replacement of the original signed export certificate. If satisfied with the declaration and explanation provided, certifying officers may issue a replacement export certificate. The original issued export certificate or any corrected documentation to support the issue of the replacement certificate must be presented to the certifying officer.
v. The certifying officer must keep the original export certificate attached to the new file copy.
vi. Replacement of an EU Health Certificate is done automatically via TRACES system by using the functional tab “copy as replacement” if satisfied with the declaration and explanation provided by the exporter. The replacement certificate

automatically replaces the previously validated certificate and the new TRACES Import Number and version is displayed referring to the old number and version which is also displayed on the certificate**.**

NB. The EU HC does not have an expiry date. Once validated it is considered as valid and amendments can be made months later through the TRACES functional tabs of "copy as replacement" so long as the certificate was initially validated.

9.3.1 Incorrectly Prepared Export Certificates

MIMRA CA is not required, nor obliged, to provide replacement certificates where the reason for the replacement results from an error made during the preparation of the information or in the preparation of the consignment. Many of these errors are preventable and could be avoided by an effective quality system.

However, this section sets out the procedure for the reissue of an export certificate where the reissue is required due to the detection of an error, other than by the EU or Member State.

The exporter must request a replacement export certificate. The Certifying Officer will endorse the replacement export certificate set in the body of each document with the statement: "*Replacement of certificate No ……. Dated …… which is cancelled."*

The exporter must complete a signed statement:

i. Outlining the reasons for replacement.
ii. Stating that no authorities of foreign governments are involved in the need to replace the original issued export certificate.
iii. Where the error is a consequence of an unintentional change of destination or method of conveyance of the consignment, the exporter must provide details of the circumstances, and whether the consignment has been discharged in another country.
iv. The exporter must present the request for replacement export certificate sent to the signing office, where the original export certificate was issued along with:
v. The original issued export certificate or
vi. Any corrected documentation to support the issue of the replacement certificate.

The exporter must ensure the details entered on the replacement export certificate are consistent with the corrected documentation provided to the certifying officer to support the issue of the replacement export certificate.

Replacement export certificates must be issued with a new unique shoulder number. Certifying officers must record on the replaced original certificate and its file copies that the certificate has been cancelled and replaced, and record the new shoulder number of the replacement certificate.

The certifying officer must attach the original of the replaced export certificate to the file copy of the new certificate.

9.4 Foreign governments involvement

This section sets out the procedure for the reissue of an export certificate where the reissue is as a result of a foreign government detecting an error on the original issued certificate. The original issued certificate may be returned to the original signing office, retained by that foreign government for destruction**.**

i. If the CA authorizes the reissue of the export certificate, it will endorse the replacement export certificates in the body of the document with the statement:
   - "Replacement of certificate No ……. Dated …… which is cancelled."
ii. The exporter must ensure the details entered on the replacement export certificate are consistent with the supporting documentation, and the inventory records if appropriate, supplied to the certifying officer for the issue of the original issued export certificate.
iii. The certifying officer must compare the details entered on the replacement certificate with the corrected documentation provided to support the issue of the replacement certificate. The official assurance verifier at the originating premises must verify any inconsistencies before the replacement certificate may be issued.
iv. Replacement export certificates must be issued with a new unique shoulder number.
v. Certifying officers must record on the original certificate and file copies of the original certificate that the certificate has been cancelled and replaced, and record the new shoulder number of the replacement certificate.
vi. The certifying officer must keep the original export certificate attached to the new file copy.

9.5 Certification rulings on unloading from fishing vessels

9.5.1 EU and Non-EU listed RMI flagged (Vessels and Carrier Vessels)

This section complements the controls specified in section 8

9.5.1.1 Fish landed and loaded into Containers

Fish loaded onto containers and/or landed for handling on shore and containerized and/or for further processing and loading for export.

In this instance the CA is afforded the opportunity to view and inspect the unloading and perform related verifications and when all is satisfactory the CA issues

i. EU HC is issued to fish and fish products that come from the EU listed vessel only as assessed and deemed in compliant to EU rules and approved by the CA.
ii. Non- EU HC is issued to fish that come from non-EU approved vessel

9.5.1.2 Fish landed for further processing

EU Eligibility by approval status of the catching vessels into the processing establishments and their separation from non EU products will be followed under the 0perator's traceability system

9.5.2 Foreign flagged (Vessels & Carrier Vessels)

9.5.2.1 Fish landed and loaded into Containers

i. Fish loaded on an approved landing site onto containers and or landed for handling on shore and re -containerized and or for further processing and loading for export, is not eligible for RMI EU HC. A Hygienic Handling Certificate can be issued on request
ii. Yet the fish will be deemed eligible by the processing state based on the EU authorization status of the flag state and the approval of the vessel as well as the EU authorization status of RMI and approval of the landing site and or cool stores if used.

9.5.2.2 Fish landed for further processing

i. Fish from non RMI vessels landed for further handling, process and export will be eligible for EU Health Certificate after processing in an RMI EU listed establishment, only if the harvesting vessel and/or carriers are EU approved and listed by the flag state.
ii. In case that the vessels are not EU approved by its flag state, the fish unloaded, nor any products thereof can qualify for a non-EU HC after processed.

9.5.3 Domestically based foreign flagged vessels

Foreign vessels in charter arrangements with domestic companies are not eligible for the EU market independent of the approval status of the processing establishment. Unless an MOU is established by the CA of the flag state and MIMRA for inspection on behalf for the maintenance of the EU listing, and this acknowledged by DG SANTE

9.6 EU Certification of products containing imported raw materials

EU Health certificates for fish products exported from RMI to the EU and which are derived wholly or partly from imported raw materials products must:

i. Have originated from a third country eligible to export the animal product to the EU.
ii. Have been derived from foreign premises eligible to export to the EU and
iii. Be eligible to be exported to the European Community.
iv. Must follow local import procedures
v. Original or copy of the import certificate/permit available for sighting
vi. The import certificate must be endorsed 'certified copy of original' and be sighted and initialled by the CA officer verifying the documents.
vii. Copy of the import documents must be obtained for record purposes.
viii. Export certificates for products of mixed origin must include the following declaration in English and the language appropriate to the Member State:

ix. "*The final product described herein was partly derived from raw material and/or product which was imported into RMI from ……. (country of origin) and was further stored, handled, processed, wrapped and/or packaged in EC-listed RMI export establishment(s).*

x. The product originated in a third country/third countries and establishment(s) listed by the European Community and is eligible for export to the European Community."

xi. The country/countries of origin are in English language only.

Note: Under the Rules of Origin **(RoO),** the flag gives the origin of the catch in general. Once the product is landed and processed, the origin changes because the wholesome of the product was altered to something different resulting in HS Code changes from 03xxx to 16xxx e.g. thus, if processed in RMI; it becomes RMI Origin and not the flag state.

9.7 Records

Record of all undertakings inclusive of forms for this section would be maintained for record and verification purposes

- Health Certification for both EU and Non-EU copies on file
- Captain Statement Declarations
- Import Permit of Certificate for imported products

10 Rapid Alerts

10.1 Background

Modern food distribution systems are so extensive and rapid that the appearance of a food hazards in one area often requires control measures to be implemented in other areas. The Rapid Alert System for Food and Feed (RASFF) is a system introduced by the EU to provide a means of communication of information regarding food safety hazards.

The RASFF forms an integral part of a set of procedures for dealing with consignments of food or feed produced which represent a serious risk. If the Member State action applied involves the recall or withdrawal of a consignment, then the designated contact point of the Member State is obliged to inform the Commission and invoke the Community RASFF system.

10.2 Types of rapid alerts

The Commission provides three types of notices that could be of concern to RMI:

i. Alert notifications are sent when the food or feed presenting the risk is on the market and when immediate action is required.

ii. Information notifications concerns a food or feed for which a risk has been identified, but for which the other members of the network do not have to take immediate action, because the product has not reached their market.

iii. Border rejections concern food or feed that have been tested and rejected at one of the EU external borders.

The Commission manages a RASFF database on which all details of the alert and information notices are entered as the Commission receives them, and their authorized officers of Member States are able to obtain current information database via the internet through the RASFF portal were weekly public bulletins are available at:
http://europa.eu.int/comm/food/food/rapidalert/index_en.htm

10.3 Organization for rapid alerts in RMI

All notifications involving seafood product of RMI under RASFF is under the leadership of the Central CA, setting out the procedures under the following structure:

i. List of contacts at national level likely to be involved in the management of the issue (Customs, logistics and transport companies, Foreign affairs, RMI representative at the EU, legal representatives of the establishment, etc.)

ii. In case of a notification the CA advisor will establish a management group (MG) with the key people involved. This group will designate a interlocutor (and substitute) who would centralize all internal and external communications that case generates (including the press)

iii. The communications would be based on e-mail in between the parts, with printouts that would be compiled in a unique dossier.

10.4 Follow-up and crisis management

i. In the 1st instance the MG will determine if the incident falls within the remit of the CA

ii. If so, the MG would use the documentation related to the traceability system of the affected establishment/s and its own investigation the source of risk and its outbreak.

iii. The MG will work with the establishment/s of product origin on two parallel fronts to:
   a. Guarantee the reduction and/or elimination of the risk in remaining product at any stage of production
   b. Investigate and remedy the causes of the nonconformity,

iv. Independently of the outcomes of the investigation, re-evaluate the systems of control in the establishment/s of product origin with the objective of avoiding repetition and if necessary review the certification and listing status of the establishment/s involved.

v. Based on outcomes, the CA has the right to suspend certification and/or revise the listing status of the establishment.

vi. Finally, the CA will provide a complete report to the EU on the outcomes of the crisis management.

10.4.1 Product withdrawal and recall.

The EU Regulation 178/2002 requires food business operators to withdraw food products from the Market. If they “believe that a food which it has imported, produced, processed, manufactured or distributed is not in compliance with the food safety requirements”. The responsibility is placed on the operators of the business.

In addition, "where the product may have reached the consumer, the operator must inform the consumers of the reason for its withdrawal, and if necessary, recall from consumer's products already supplied to them when other measures are not sufficient to achieve a high level of health protection."

i. Withdrawal from the market therefore requires the food business operator to:
   a. Cease marketing the product or batch concerned where any affected products or batches of product held is in stock;
   b. Inform customers of the problem so that any affected products or batches of product held in stock are not marketed.

ii. Recall from the market requires the food business operator to:
   a. Undertake the above actions as for a product withdrawal;
   b. Ensure that any products which may have reached the consumer, but have not been consumed, are not consumed, and are returned to the seller.
   c. Provide information to consumers regarding actions to take should the product have been consumed.

iii. In both cases there is a need for the food business operator to work under the guidance of and in collaboration with the CA.

iv. The CA will oversee all communication with the EU authorities to assure the destruction of affected products.

10.5 Traceability guidelines

(1) The CA will verify the efficiency of a traceability system adopted by the operator. To make it possible, the system should be clearly documented and followed. The following, represent the key points to be observed:

(a) All products entering the possession of the establishments should be allocated with a unique batch code;

(b) Products should be identifiable to a batch code whilst in the possession of the operator;

(c) Products consigned to another should be identifiable to a batch code.

(2) At a minimum, systems of traceability should record the following essential information in relation to each and every batch, with documented evidence to support these indications:

- Name of supplier
- Date and time of receipt
- Divisions/additions to batch
- Name of consignee
- Date and time of dispatch

10.6 Records

- EU RASFF database listing of Rapid Alerts
- Checklist for Rapid Alert Investigation & Closure

11 Labelling

Requirements for labelling are to be based on Council Directive 2000/13/EC on labelling, presentation and advertising of foodstuffs to the final consumer, as is the main piece of EU legislation regarding the labelling of foodstuffs. Its aim is to ensure that the consumer gets all the essential information as regards the composition of the product, the manufacturer, methods of storage and preparation, etc.

Reference and updates to be found at:

http://ec.europa.eu/food/food/labellingnutrition/foodlabelling/comm_legisl_en.htm

11.1 Date Labels

For the purposes of this section:

Production date label entry **-** means a date or date range preceded by the words 'production date'.

Labels must display, in a legible manner, the marks, descriptions and other indicators required by these requirements.

Where the production dates are required on any export certificate for products exported from RMI to the EU, they must reflect the following dates:

i. Dates of packaging in the case of chilled or frozen fish.
ii. Date of freezing for fish frozen onboard.

For seafood products where the production dates are required on the export certificate:

i. A label entry with the words '*production date*' is required on labels (outer cartons) for any product where EU requirements have stipulated that a packing date or processing-type date range is to be shown on labels.
ii. The '*production date*' label entry may be used in place of any default labelling requirements
iii. The production date entry, on labels, must be within the production date range on the export certificates with at least one label matching the start and end dates respectively.
iv. The production dates on the labels must be shown in clear, e.g. 21 Sep 2005, 1 May 05 – 10 May 05, June 05, Jan 05 – Feb 05

Where a range of dates is shown, the range must be relevant to, and not exceed the limits of, the batch in question.

Exporters are advised to confirm with the importer that a date range for processing or packing, with or without the day reference, is acceptable.

Where there is no requirement for production dates on the labels. If the operator optionally adds dates, other than expiry dates, then one of the date ranges must be called 'production date' and correspond to the production dates on the export certificate.

11.2 Catch Area

The operator must provide the importer in the European Union with the catch area data relevant to the species in the consignment on the format as required by the EU.

12 Clarifications and appeal procedure

12.1 Clarification Provisions for Exporters

12.1.1 First instance

The initial point of contact for operators/licensees seeking clarification of specifications, including overseas market access requirements, will be the CA officer responsible for the premises, or the signing officer dealing with export certification.

12.1.2 Second Instance

Where the CA officer is unable to provide the clarification sought by the operator/licensee, it will refer the query to the CA advisor.

12.1.3 International instances

Official communication with foreign governments and RMI diplomatic posts remains the responsibility of the CA.

Exporters seeking the CA's assistance with problem consignments must submit the relevant data and information to the CA, for an assessment and subsequent recommendation and clarification to border authorities and diplomatic missions.

12.2 Appeal Provisions for Exporters

Where any operator/licensee believes, **after following the suggestions of section 11.1** that information, clarification, or sanctioned is demonstrably unfair, inaccurate, or impinges on the operator/licensee's ability to conduct operations, they may contact MIMRA Management.

The operator/licensee is required to advise the CA directly involved first. The operator/licensee should be aware that the likely first action of MIMRA management will be to seek the views of the verification officer and MIMRA Legal officer.

In the instance that the issue is not resolved with MIMRA management then an independent arbitrator shall be used.

12.3 Records

Records pertaining to appeals and correspondence.

13 International Instances

Official communication with foreign governments and RMI diplomatic posts remains the responsibility of the CA. Exporters seeking the CA's assistance with problem consignments must submit the relevant data to CA, for an assessment and subsequent recommendation to the CA Advisor.

14 Approval of EU official testing laboratories

14.1 Conditions

The CA will maintain a list of laboratories approved to provide testing to meet EU legislative requirements.

14.1.1 Criteria for designation of Laboratories

The Competent Authority bases its approval of laboratories carrying out tests, analysis and determinations of fish or fishery products, on the laboratory's compliance with the general criteria for testing laboratories laid down in the ISO 17025 standards with all laboratories being approved having to hold ISO 17025 accreditation for every test being carried out. In doing so, the following steps are taken:

(1) The CA through the assistance of agencies such as the Forum Fisheries Agency (FFA) identify laboratories within the region that are accredited and able to carry out the analysis that the CA needs

(2) The CA then communicates with the laboratory to confirm their accreditation

(3) Cross check with information available on line in the accreditation body website for example laboratory from New Zealand: (http://www.ianz.govt.nz/directory/)

(4) When accreditation meets the required or prescribed standards, a service agreement (contract) is entered into between the laboratory and the CA

If a laboratory has not yet gained accreditation for a specific parameter, the CA will provide an interim approval based on a verifiable accreditation plan with clearly defined time milestones to be followed.

Maintaining approval is based on maintaining the accreditation required.

The CA will only sign a contractual agreement with the designated laboratory/ies delegating responsibilities for official determinations and agreeing on a service contract.

14.1.2 Criteria for verification by CA

The absence of any accredited laboratory in RMI and its remoteness have made even getting samples to the nearest accredited laboratory a very expensive exercise for both the CA and FBOs. However, the following paper checks is in place:

(1) CA communicates via email with accreditation body

(2) CA checks accreditation body website to see the latest or any changes of accreditation status of the laboratory (http://www.ianz.govt.nz/directory/)

(3) Cross check analysis results with accreditation scope to cross reference the method used

(4) Also check the IANZ (accreditation body) regarding inter- laboratory and proficiency testing engaged by the designated laboratory

(5) Communicate to the laboratory if method used is outside the scope and if need to then look for a new laboratory.

(6) Conduct yearly audit of the designated laboratory whenever possible with the assistance from FFA.

15 CA Annual Reporting and Operational Review

15.1 CA Annual Reporting

The CA Advisor will prepare and publish electronically an annual report of its activities.

This will set out the degree to which the annual plan has been accomplished.

This report will be presented annually to DG SANTE and to the interested parties domestically or internationally.

The report will have two components:

15.1.1 Operational

The report will resume the activities of the CA and set out the conditions encountered.

This will include:

- Results of verifications (plant standard and ratings, number of non-compliances noted)
- The type and number of non-compliance; actions undertaken and results of those actions, indicating how the food safety condition was affected
- Numbers and types of certificates issued
- Rejections, rapid alerts and problems encountered with products reaching export or domestic markets
- Any amendments made to this NCP
- A link to the web page of the CA containing public information on fees and charges, if applicable
- Other information regarding the management of the competent authority (trainings, staff deployed, financial income and budgetary expenditure)

Variances from original assumptions will be explained.

15.2 Technical

The CA-TL as part of the practical arrangements of official controls will produce the technical component of the report.

This will include:

- Type of species sampled
- Numbers of samples
- Parameters tested
- Methodologies used
- Results
- Recommendations

Form F19 “CA Annual Review” form will be used to document findings from the annual CA review.

Any non-compliance will result in a corrective action request being documented on Form F20E.

16 REFERENCES

16.1 National References

- Marshall Islands Marine Resources Authority Act of 1997,
- Fish Processing and Fish Export Regulation 2020
- RMI Industry Standards
- National Control Plan

16.2 European legislation

The list presented below is not restrictive but includes the most important legislation on health conditions for fishery products.

16.2.1 Horizontal legislation

16.2.1.1 Food safety

- Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety
- Regulation (EC) No 852/2004 of the European parliament and of the council of 29 April 2004 on the hygiene of foodstuffs
- Regulation (EC) No 853/2004 of the European parliament and of the council of 29 April 2004 laying down specific hygiene rules for food of animal origin
- Regulation 625/2017 -on official controls and other official activities performed to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products

16.2.2 Vertical legislation

16.2.2.1 Fishery products

- Specific sections and annexes of Regulations (EC) N° 852/2004 and N° 853/2004 of 29 April 2004 from 1st January 2006 (see horizontal legislation)

16.2.2.2 Health certificates – Fishery products

- Commission Regulation (EC) No 1664/2006 of 6 November 2006 amending Regulation (EC) No 2074/2005 as regards implementing measures for certain products of animal origin intended for human consumption and repealing certain implementing measures
- Commission Implementing Regulation 2019/628 concerning model official certificates for certain animals and goods and amending Regulation (EC) No 2074/2005 and Implementing Regulation (EU) 2016/759 as regards these model certificates

16.2.3 Specific Directives and Decisions

- EU Regulation 1333/2008, Food Additives
- EU Regulation 231/2012, Food Additives
- EC Regulation 2406/96, Organoleptic Criteria
- Directive 98/83/EC, Quality of water for human consumption
- Decision 2002/657/EC, Performance of analytical methods & interpretation of results (implementing Directive 96/23/EC)
- Regulation 178/2002, General Food law
- Regulation 2073/2005, Microbiological criteria for foodstuffs
- Regulation 2074/2005, Certain implementing measures related with Regulations 853, 854 and 882 (TVB-N, analysis methods for biotoxins)
- Regulation 1881/2006, Maximum levels for certain contaminants (contaminants related with fishery products: lead, cadmium, mercury inorganic tin, benzo(a)pyrene and 3-MCPD)
- Directive 333/2007 Sampling methods and the methods of analysis for the official control of the levels of lead, cadmium, mercury inorganic tin, benzo(a)pyrene in foods and 3-MCPD in foodstuffs

Commission Decision 623/2003 TRACES

- Regulation 931/2011, Food Traceability requirements
- Regulation 1169/2011, Food information and labelling
- EC Regulation 1021/2008, Organisation of official controls
- Regulation 10/2011, Articles intended to come into contact with food
- Directive 2007/42, Regenerative Cellulose
- Regulation 2008/282 Recycled plastics
- Regulation 2005/1895 Plastics, coatings or adhesives containing epoxy derivatives
- Regulation 1441/2007, Microbiological criteria for foodstuffs
- Commission Implementing Regulation 2019/625 with regard to requirements for entry into the Union of consignments of certain animal products and goods intended for human consumption
- Commission Implementing Regulation 2019/626 concerning lists of third countries authorized for the entry into the European Union of certain animals and goods for human consumption
- Commission Implementing Regulation 2019/627 laying down uniform practical arrangements for the performance of official controls on products intended for human consumption
- Commission Implementing Regulation 2019/ 1715 of 30 September 2019 laying down rules for the functioning of the information management system for official controls and its system components (the IMSOC Regulation)

16.3 Other

- Codex General Principles of Food Hygiene (CAC/RCP 1-1969)
- Manual for the Execution of Sanitary Inspection of Fish Products – SFP / ACP
- EU TRACES Manual
- *"Histamine levels in long lined tuna in Fiji: A comparison of samples from two different body sites and the effect of storage at different temperatures"*. T. Chamberlain. Marine Studies Programme. The University of the South Pacific, P.O Box 1168, Suva, Fiji Islands. 2004
- *Scombrotoxin (histamine) Formation*. USFDA Fish and Fishery Products Guide (4th Ed.), March 2020

17 Annexes

17.1 EU Regulatory Testing

Test	*Regulatory Ref.*	*No. of samples*	*MAL*	*Method of analysis*
EU				
Lead	Commission Regulation 333/2007 And Regulation 1881/2006 And subsequent amendments	1 sample per species per company annually	0.3 mg/kg muscle meat of fish and cephalopods 0.5 mg/kg crustaceans 1.5 mg/kg bivalve molluscan shellfish	LOD = three tenths of the LOQ LOQ ≤ one fifth of the permissible level
Cadmium	Commission Regulation 333/2007 And Regulation 1881/2006, And subsequent amendments	1 sample per species per company annually	0.1 mg/kg mackerel and tunas 0.25 mg/kg swordfish 0.5 mg/kg Crustaceans 1.0 mg/kg cephalopods and bivalve molluscan shellfish 0.05 mg/kg other species	LOD = three tenths of the LOQ LOQ ≤ one fifth of the permissible level Except for "other species:" LOQ ≤ two fifths of ML
Mercury	Commission Regulation 333/2007 And Regulation 1881/2006, And subsequent amendments	1 sample per species per company annually	1.0 mg/kg tuna, swordfish, emperor, marlin, sailfish, shark 0.5 mg/kg other species	LOD = three tenths of the LOQ LOQ ≤ one fifth of the permissible level
Inorganic Tin	Commission Regulation 333/2007 And Regulation 1881/2006 And subsequent amendments	Canned tuna: 1 can per product variant per establishment per year	200 mg/kg canned tuna	LOD = three tenths of the LOQ LOQ ≤ one fifth of the permissible level

Test	*Regulatory Ref.*	*No. of samples*	*MAL*	*Method of analysis*
Dioxins and PCBs	Commission Regulation 333/2007 ; Regulation 1259/2011, And subsequent amendments	1 sample per species per establishment every year	3.5 pg/g dioxins (sum of dioxins) 6..5 pg/g wet weight dioxins and PCBs (sum of dioxins and dioxin-like PCBs) 75 ng/g wet weight (sum of PCB28, PCB52, PCB101, PCB138, PCB153, PCB180)	Not specified
Polyaromatic hydrocarbons (PAHs) (ONLY FOR SMOKED FISH PRODUCTS)	Commission Regulation 333/2007 And Regulation 1881/2006 And subsequent amendments	1 sample per product per year	Benzo(a)pyrene: 2.0 ug/kg smoked fish Sum of benzo(a)- pyrene, benz(a)anthracene, benzo(b)fluoranthene and chrysene: 12.0 ug/kg	LOD less than 0.3 ug/kg LOQ less than 0.9 ug/kg
Histamine	Commission Regulation 1441/2007 And subsequent amendments	9 samples bi-annually per species per existing company exporting and 4 monthly for new companies	No more than 2 samples with results between 100 and 200 mg/kg and no results over 200 mg/kg	HPLC

Note:

1. Only test inorganic tin on canned goods destined for EU.

2. Reference for sampling plan "Official Histamine and Environmental Contaminants Monitoring programme for EU Seafood Exports."

Poisonous fishery products

The following species of poisonous fishery products are prohibited; Species of *Tetraodontidae, Molidae, Diodontidae, Canthigastridae* or other know toxic species. Species of family *Gempylidae* (Oilfish-*Ruvettus pretiosus* and Escolar-*Lepidocybium flavobrunneum*) may only be placed in the market in wrapped packed form and must be properly labelled.

Family	*Scientific name*	*Common Name*
Tetraodontidae	*Tetraodontidae*	Puffer fish
Molidae,	*Molidae,*	Half fish
Diodontidae	*Diodontidae*	Porcupinefish
Canthigastridae	*Canthigastridae*	Sharp-nosed puffers
Gempylidae	*Ruvettus pretiosus*	Oilfish
	Lepidocybium flavobrunneum	Escolar

Water:

Water				
Microbiology	Council Directive 98/83	3 - monthly	TPC 22°C No abnormal change E. coli nil per 100 ml Enterococci Nil per 100 ml Total Coliform 0 per 100 ml	ISO 9308-1 ISO 7899-2
Acrylamide		1 sample per year	0.1 ug/l	Control by product specification
Antimony		1 sample per year	5.0 ug/l	Trueness, limit of detection and precision all 25%
Arsenic		1 sample per year	10 ug/l	Trueness, limit of detection and precision all 10%
Benzene		1 sample per year	1.0 ug/l	Trueness, limit of detection and precision all 25%
Benzo(a)pyrene		1 sample per year	0.01 ug/l	Trueness, limit of detection and precision all 25%
Boron		1 sample per year	1.0 mg/l	Trueness, limit of detection and precision all 10%
Bromate		1 sample per year	10 ug/l	Trueness, limit of detection and precision all 25%
Cadmium		1 sample per year	5.0 ug/l	Trueness, limit of detection and precision all 10%
Chromium		1 sample per year	50 ug/l	Trueness, limit of detection and precision all 10%
Copper		1 sample per year	2.0 mg/l	Trueness, limit of detection and precision all 10%
Cyanide		1 sample per year	50 ug/l	Trueness, limit of detection and precision all 10%
1,2-dichloroethane		1 sample per year	3.0 ug/l	Trueness, limit of detection both 25% and precision 10%
Epichlorohydrin		1 sample per year	0.1 ug/l	Controlled by product specification
Fluoride		1 sample per year	1.5 mg/l	Trueness, limit of detection and precision all 10%

Water (cont)				
Test	***Regulation***	***No. of samples***	***Maximum level***	***Method of analysis***
Lead	Council Directive 98/83	1 sample per year	10 ug/l	Trueness, limit of detection and precision all 10%
Mercury		1 sample per year	1.0 ug/l	Trueness 20%, limit of detection 20% and precision 10%
Nickel		1 sample per year	20 ug/l	Trueness, limit of detection and precision all 10%
Nitrate		1 sample per year	50 mg/l	Trueness, limit of detection and precision all 10%
Pesticides		1 sample per year	0.1 ug/l	Trueness, limit of detection and precision all 25%
Pesticides – total		1 sample per year	0.5 ug/l	Trueness, limit of detection and precision all 25%
Polycyclic aromatic hydrocarbons		1 sample per year	0.1 ug/l	Trueness, limit of detection and precision all 25%
Selenium		1 sample per year	10 ug/l	Trueness, limit of detection and precision all 10%
Tetrachloroethene and trichloroethene		1 sample per year	10 ug/l	Trueness 25%, limit of detection 10% and precision 25%
Trihalomethanes		1 sample per year	100 ug/l	Trueness 25%, limit of detection 10% and precision 25%
Vinyl chloride		1 sample per year	0.5 ug/l	Controlled by product specification
Chloride (as Cl)		1 sample per year	250 mg/l	Trueness, limit of detection and precision all 10%
Manganese		1 sample per year	50ug/l	Trueness, limit of detection and precision all 10%
Sulphate		1 sample per year	250 mg/l	Trueness, limit of detection and precision all 10%
Sodium		1 sample per year	200 mg/l	Trueness, limit of detection and precision all 10%
Ammonium		4 samples per year	<0.5 ppm	Trueness, limit of detection and precision all 10%
Nitrite		4 samples per year	0.5 mg/l	Trueness, limit of detection and precision all 10%
Iron		4 samples per year	200 ug/l	Only if used as water treatment chemical

Water (cont)				
Test	***Regulation***	***No. of samples***	***Maximum level***	***Method of analysis***
Colour	Council Directive 98/83	4 samples per year	Typical	Not specified
Conductivity		4 samples per year	2500 Us cm^{-1}	Trueness, limit of detection and precision all 10%
pH		4 samples per year	6.5 to 9.5	Capable of measuring concentrations equal to the parametric value with a trueness of 0,2 pH unit and a precision of 0,2 pH unit.
Odour		4 samples per year	Typical	Not specified
Taste		4 samples per year	Typical	Not specified
Turbidity		4 samples per year	<5 NTU	Not specified
Aluminium		4 samples per year	200 ug/l	Trueness, limit of detection and precision all 10%

Note: Samples to be taken 4 times per year (or 3 monthly) must be taken; samples to be taken annually will be rotated as budget allows and as applicable to the water supply.

17.2 CHINA Regulatory Testing

Please note:

1. Where possible EU test results will be used to confirm compliance with the Chinese requirements given below.

2. The People's Republic of China does not have specific testing methodology so use the procedure recommended by the accredited laboratory.

18 Parameter	19 Product	20 Chinese legislation				21 Test Frequency	22 Method
Benzo(a)pyrene	Smoked fish	5 ug/kg				Annual test	GB5009.27
Lead	Fish	0.5 mg/kg fish and cephalopods 1.5 mg/kg Molluscs & Cephalopods				Annual test	GB5009.12
Cadmium	Fish	0.1 mg/kg 0.2 mg/kg (canned fish)				Annual test	GB5009.15
Mercury	Fish	1 mg/kg (Predatory fish) 0.5 mg/kg(non predatory)				Annual test	GB5009.17
Tin	Canned foods	250 mg/kg				10 cans per lot per year	GB5009.16
Chromium	Fish and crustaceans	2.0 mg/kg				Annual test	Gb5009.123
Inorganic Arsenic	Fish and crustaceans	0.1 mg/kg				Annual test	GB5009.11
N-nitrosamines	Aquatic fish (N-nitrosodimetilamine) (Ndietilnitrosamine)	4 µg/kg				Annual test	GB5009.26
PCBs	Aquatic Products	0.5 mg/kg				Annual test	GB5009.190
TVB-N	Marine fish	30 mg/100g					
Colonies count	Aquatic products	n = 5	c = 2	≤5 x 10^4	≤10^5	5 samples per species per year	GB2733
Histamine	Scombroid species	40 mg/100g					GB10136
Histamine	Non-scombroid species	20 mg/100g					GB 2733
Coliforms (cfu/g)	Aquatic products	n = 5	c = 2	m = 10	M = 100	5 samples per species per year	GB 10136
Salmonella	Ready to eat products and dry products	Absence per 25g				5 samples per product type per year	GB 4798.4
S. aureus (cfu/g)	Ready to eat products and dry products	n = 5	c = 2	m = 100	M = 1000	5 samples per product type per year	GB 4798.10
V. parahaemolyticus (MPN/g)	Ready to eat products	n = 5	c = 2	m = 100	M = 1000	5 samples per product type per year	GB/T 4789.7

*** = Most Probable Number**

17.3 CA Operational Forms

F00 – Verification Report Cover

Establishment:	Approval Number:
Address:	Telephone: E mail:
Type of verification [ ] Documental [ ] Total [ ] Partial [ ] Random	
Source Verification Report Ref. No.	Date of Initial Verification:

Summary of Verification Visit and Outcome:

Verification Visit Outcome: NS/S, A, B, C, D or other	
Next visit frequency:	Estimated Next Visit Date:

Attached forms (Circle the Appropriate Form_

F01	F02	F03	F04	F05
F06	F07	F08	F09	F10
F11	F12	F13		

F01 – Documental verification of HACCP

Name of the establishment:	Approval Number:
Verification Officers:	Establishment representatives:
References consulted	Date and time of verification:
S = satisfactory	**NS =** not satisfactory

Element to evaluate	S	NS	Observations
HACCP (5.6)			
1 Facilities and process description			
1.1 Company/section general description providing sufficient and accurate information			
1.2 Scope: product name(s), the start and finish of each process covered by the HACCP			
1.3 Organization: Is there a company organization chart for key personnel involved in HACCP?			
1.4 HACCP policy: Is there a documented HACCP policy signed by the operator?			
1.5 *HACCP team:* Responsibilities documented and updated?			
1.6 *HACCP team:* Adequate qualification and experience available?			
1.7 *References:* Documented references and resources utilized?			
1.8 HACCP Approval: Is the HACCP plan document approved and signed / dated by the company?			
2. Product Description			
2.1 Product description covers products, and key characteristics?			
3. Processing specification:			
3.1 Flow diagram includes each stage of processing chain?			
3.2 Does flow include inputs and process variations?			

4. Hazard ID and Analysis			
4.1 Includes Ph, Ch and Bi[4] hazards associated to raw materials?			
4.2 Includes Ph, Ch and Bi hazards associated to each step of processing?			
4.3 Hazards evaluated in terms of likelihood and severity?			
4.4 Are hazards correctly and accurately identified?			
4.5 Preventive measures identified to control each relevant risk?			
5. Determination of CCP			
5 1 The Identification is consistent with the identified hazards?			
5.2 Are CCPs appropriate for product and end use?			
6. Critical Limits			
6.1 Established for each CCP determined previously?			
6.2 Are the CLs able to be determined, simple and routinely, during production?			
6.3 Limits validated considering published/experimental evidence?			
7. Monitoring of CCP			
7.1 Includes *what, who, when* and *how* for each CCP and critical limit being monitored?			
7.2 Frequency of monitoring allows adequate control of each hazard			
8. Corrective Actions			
8.1 Includes *what, who, when* and *how* corrective actions are taken?			
8.2 Covers action to correct the cause and product disposition			
8.3 Are CA realistic and able to be met?			
9. Verification Procedures			
9.1 Includes *what, who, when* and *how* verification activities take place?			
9.2 Covers record review, final product testing and calibration of equipment?			

[4] Physical Chemical and Biological Hazards

10. Documentation and Records			
10.1 Records are documented for each CCP and critical limit given in the HACCP plan?			
10.2 Documents and records have adequate version control?			
10.3 Records include date of observation and the signature of the person performing the check.			
General Comments			
Outcome of Verification: NS/S or other			
Verifier's name and signature:	Date/Time:		
Operator Representative name and signature:	Date/Time:		

F02 – Verification of pre-requisites and support programs (desk top review)

Name of the establishment:	Approval Number:
Verification Officers:	Establishment representatives:
References consulted	Date and time of verification:

S = satisfactory **NS =** not satisfactory

Elements to verify	S	NS	Observations
1. Water/Ice/Steam (4.4.5)			
1.1 Documented system for controls on potable water, seawater, ice and steam (as applicable)			
1.2 Details of water reticulation system showing potable and non-potable supply in processing areas			
1.3 Documented corrective actions in the event of a non-compliance			
2. Recall (5.9)			
2.1 Documented system that covers overall responsibility, procedures and effectiveness.			
3. Cleaning and Sanitation (5.1.2)			
3.1 Documented system that covers all areas/items how often, how and by whom?			
3.2 Documented system requires approved chemicals to be used?			
3.3 Is there a list of approved chemicals used on site?			
3.4 Documented system covers verification of cleaning effectiveness?			
4. Personnel Hygiene (5.2)			
4.1 Documented system covers controls on all personnel and situations?			
5. Storage and Transport (5.4.3)			
5.1 Documented system covering controls on all storages and transport?			
5.2 Documented system covers temperature controls?			
6. Repairs and Maintenance (5.5)			
6.1 Documented system for maintenance procedures (who, what, how and when)			
6.2 Documented system covers actions to take when equipment breaks down?			

6.3 Covers records of repairs to be carried out and target dates for completion?			
7.Chemical Programme (5.1.7)			
7.1 Documented system covering all chemicals to be used ()			
7.2 Documented system requires their labelling and secure storage			
8. Pest Control (5.1.6)			
8.1 Documented system covering all likely pests and pest entry?			
8.2 Documented system details how pests will be eradicated if they enter?			
8.3 Documented system to prevent pests breeding both inside and outside the factory			
8.4 Documented system requires the use of approved pest control chemicals			
8.5 Documented system details the checks for compliance and action during infestation			
9. Training (5.8)			
9.1 Documented system covering induction and specialist training required			
9.2 Documented system requires training records storage			
10. Internal Check and compliance (5.11)			
10.1 Documented system covering checks to be carried out			
10.2 Documented system includes the compliance records management			
11. Inventory Control/Traceability (5.10)			
11.1 Documented system covers traceability from catching to dispatch			
11.2 Documented system provides a coding system that provide adequate traceability			
12. Receiving of Raw Materials and Ingredients (5.7.1/5.7.2/5.7.3)			
12.1 Documented system covering checks on incoming fish (who, what, how and when)			
13. Process Controls (5.7)			
13.1 Documented system covering specific process controls, limits and checks			
14. Separation of EU products (5.3.4)			
14.1 Documented system for separation control. Records?			
14.2 Includes physical separation of raw materials not fit to the EU market?			

General Comments	
Outcome of Verification	
Verifier's name and signature:	Date/Time:
FBO Representative name and signature:	Date/Time:

F03 – Infrastructure condition (pre-approval and re-approval use)

Name of the establishment:	Approval Number:
Verification Officers:	Establishment representatives:
References consulted	Date and time of verification:

Element to evaluate	Mi	Ma	Se	Cr	Observations
1.Site and Layout (4.1)					
1.1 Surroundings clean, absence of pooling of water and cut grass or paved?					
1.2 Sufficient areas and space to work under sanitary and hygienic conditions					
1.3 Does the layout preclude contamination?					
2. Reception area (4.2)					
2.1 Is the receiving area clean and in a good state of repair?					
2.2 Are the floor, walls, ceiling made of materials easy to clean?					
2.3 Is there sufficient potable water supply?					
2.4 The isolation from outside, is it sufficient to avoid contamination?					
3. Processing area (4.3)					
3.1 *Floors*. Made of materials easy to clean and sanitize? In good condition?					
3.2 *Floors*. Allows easy drainage of water or it has water removal equipment?					
3.3 *Walls.* Made of materials easy to clean and sanitize? In good condition?					
3.4 *Windows.* Easy to clean and sanitize and fitted with fly screens?					
3.5 *Ceiling.* Made of materials easy to clean and sanitize? In good condition?					
3.6 *Doors.* Made of materials easy to clean and sanitize? In good condition?					
3.7 *Ventilation.* Adequate/sufficient? Allows a good extraction of moisture					
3.7.1 Ventilation. Filters and parts easily accessible.					
3.7.2 Ventilation. Avoids contamination from contaminated areas. Clean					

Element to evaluate	Mi	Ma	Se	Cr	Observations
3.8 *Lighting (Natural or Artificial).* Is the lighting adequate and protected					
3.9 *Drainage* Are drains rodent proof and have access for cleaning?					
3.10 *Hoses* Fitted with a hose reel or up off the floor? In good condition?					
4. Hand washing facilities (4.3.5)					
4.1 Are the facilities in entry areas and in sufficient numbers?					
4.2 Are the taps non-hand operated?					
4.3 Are the facilities provided with sanitizer, disposable hand towels and trash bins?					
5. Chillers and Freezers (4.3.6)					
5.1 *Floors.* Made of materials easy to clean and sanitize?					
5.2 *Floors.* Allow easy drainage of water or it has water removal equipment?					
5.3 *Walls.* Made of impermeable materials easy to clean and sanitize?					
5.4 *Ceiling.* Made of impermeable materials easy to clean and sanitize?					
5.5 *Doors* Made materials easy to clean and sanitize? In good condition?					
5.6 *Lighting (Natural or Artificial)* Is the lighting adequate and protected?					
5.7 Capacity. Able to maintain raw materials/products at allowed T [5]?					
5.8 Monitoring Is there an efficient temperature control programme?					
5.9 Minimise contamination Is the product up off the floor and protected					
6. Vermin and pests (5.1.6)					
6.1 Is there adequate vermin proofing and appropriate protection facilities?					
6.2 Is there an absence of vermin?					
7. Instruments and working equipment (4.3.3)					
7.1 Are they made of materials that are non-corrosive, , easy to clean and sanitize?					
8. By-products/Waste (4.4.2/5.1.3)					

[5] **Fresh:** towards melting ice (< 4 Cº). **Frozen:** -18Cº. **Brine** -9Cº

Element to evaluate	Mi	Ma	Se	Cr	Observations
8.1 Containers made of non-corrosive materials, easy to clean and sanitize?					
8.2 Adequate room for storage of by-products? Avoids cross contamination?					
8.3 Are waste containers identifiable and if outside fitted with a lid?					
9. Potable Water supply (4.4.5)					
9.1 Sufficient pressure in all areas?					
9.2 Backflow control if necessary?					
9.3 Are test results available to show potability?					
10. Cleaning chemical and utensils (5.1.7)					
10.1 Appropriate storing area that avoids potential cross contamination?					
10.2 Absence of cleaning chemicals in processing area when processing					
11. Waste water (4.4.2)					
11.1 Is there an adequate and hygienic wastewater disposal system?					
12. Vehicles (5.4.4)					
12.1 In good condition and easy to clean and sanitize?					
13. Changing rooms and amenities (4.4.1)					
Toilets					
13.1. *Placement*. Not open directly onto the fish handling and processing area?					
13.2 *Usage.* Are they equipped with working water-flushing systems?					
13.3 *Floors.* Made of materials easy to clean and sanitize?					
13.4 *Floors.* Allows easy drainage of water or it has water removal equipment? In good condition?					
13.5 *Walls.* Made of impermeable materials easy to clean and sanitize? In good condition?					
13.6 *Ceiling.* Made of impermeable materials easy to clean and sanitize? In good condition?					
13.7 *Hand basins.* In exit areas and in sufficient numbers? Foot operable?					
13.8 *Vermin Proof.* Screens in act?					
Changing rooms					
13.9 Placement. Control cross contamination from the exterior?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
13.10 *Usage.* Equipped with clothing storage facilities in good condition?					
13.11 *Floors.* Made of materials easy to clean and sanitize? In good condition?					
13.12 *Floors.* Allows easy drainage of water? In good condition?					
13.13 *Walls.* Made of materials easy to clean and sanitize? In good condition?					
13.14 *Ceiling.* Made of i materials easy to clean and sanitize? In good condition?					
14. Laundry *Contracted or not?* (4.4.6)					
14.1 Capacity in relationship to the number of employees?					
14.2 *Internal.* In good hygienic condition?					
14.3 *Contracted.* is the transportation done hygienically?					
15. Ice Production (4.4.5)					
15.1 Is ice produced from potable water, and in good hygienic condition?					
15.2 Is ice stored in containers designed for this purpose?					
16. Fish Smoking areas (5.7.5)					
16.1 Separated Smoking area with adequate ventilation?					
17. Salting area (5.7.5)					
17.1 Separated salting area with adequate drainage?					
18. Laboratory (5.7.9)					
18.1 Separated from processing areas and with controlled access?					

General Comments	
Outcome of the verification: A/B/C/D	
Verifier's name and signature:	Date/Time:
FBO Representative name and signature:	Date/Time:

F04 – Onshore processing premises hygiene and HACCP checks

Name of the establishment:	Approval Number:
Verification Officers:	Establishment representatives:
References consulted:	Date and time of verification:

mi=Minor **ma=** major **Se=** serious **Cr=** critical

Element to evaluate	Mi	Ma	Se	Cr	Observations
1. HACCP (5.6)					
1.1 General: is HACCP documentation available to the officer?					
1.1.1 Is the product description accurate for the product?					
1.1.2. Does the process flow occur as stated?					
1.2 Monitoring: are monitoring procedures followed as documented?					
1.2.1 Are monitoring records up-to-date, complete and accurate					
1.2.2 Are monitoring records reviewed by a trained person?					
1.2.3 Do monitoring records meet critical limits?					
1.2.4 Are corrective actions taken as documented?					
1.2.5 Are verification activities performed as documented?					
1.2.6 Are product test records available and meet required limits?					
2. SSOP/GMP/Pre-requisites					
2.1 General: Are records of company checks on SSOPs/GMPs/pre-requisites available?					
2.1.1 Are there records for checks on design and construction of plant and equipment?					
2.1.2. Are there records for checks on personnel hygiene and conduct?					
2.1.3. Are there records for tests carried out on potable water in accordance with SSOPs?					
2.1.4. Are there records for checks on repairs and maintenance?					
2.1.5. Are there records for checks on the verification of cleaning effectiveness?					
2.1.6. Are there records for checks on vermin?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
2.1.7 Are the checks performed and records kept on the suitability of incoming materials?					
2.1.8. Are there records for checks on process controls not previously covered by CCP checks					
3. Site and Layout (4.1)					
3.1 Are plant surrounds, roadways, pathways kept clean					
3.2 Is there an absence of water build up and the area grassed and drained					
3.3 Absence of contamination from neighbours and other contaminants					
3.4 Product load-in/load out areas are suitably covered in handling unpackaged goods					
4. Reception Area (4.2)					
4.1 Kept clean and in good repair					
4.2 Floors, walls, ceilings made of materials that are easy to clean					
5. Loading docks/bays (4.5)					
5.1 Are they equipped with an awning or similar protection if product unpackaged?					
5.2 Are truck access ways paved and well drained?					
5.3 Are hand washing facilities and running water available at the site?					
5.4 Is it used for only loading/unloading of fish and not other activities that risk fish?					
5.5 Are bays/docks kept clean and tidy?					
6. Ceilings, floors, internal doors, walls (4.3.2)					
6.1 Are they lightly coloured, flake free and non-toxic?					
6.2 Are they smooth, impervious and washable?					
6.3 Are all joints sealed and in good condition?					
6.4 Are overhead structures free of rust and dust or covered by ceiling?					
6.5 Is there an absence of condensation?					
6.6 Do floors slope towards the drain or have adequate water removal?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
6.7 Are ceilings clean, free of holes and an acceptable height?					
6.8 Is there adequate coving on wall/floor joints to facilitate cleaning?					
7. Drains (4.3.2.4)					
7.1 Are they rodent proof and finished flush with the surface?					
7.2 Are they properly trapped and covered and easy to access for cleaning?					
7.3 Are they of sufficient capacity and minimise contamination					
8. External openings (4.3.2.6)					
8.1 Are they adequately pest proofed?					
8.2 Are screens and doors in good repair?					
8.3 Doors that open to outside are self-closing or fitted with plastic curtains in good repair?					
9. Stairs, platforms, stands (4.3.2.7)					
9.1 Are they non-slip, impervious and clean?					
9.2 Do they avoid contamination?					
10. Hoses (4.3.2.8)					
10.1 Are they of sanitary design and kept up off the floor?					
11. Footbaths (4.3.2.9)					
11.1 Are they available and topped up with sanitizer at the required strength?					
12. Equipment, Utensils (4.3.3)					
12.1 Are they corrosion resistant and free from pits, cracks and loose scale?					
12.2 Are welds in good repair?					
12.3 Are containers in good repair?					
12.4 Are containers for waste clearly identified, easily cleaned and fitted with lids?					
12.5 Gaps between equipment and wall or structures have adequate room for cleaning?					
12.6 Racks provided for gloves and aprons in processing area or close by?					
12.7 Fish boxes made of smooth impervious hard plastic that is clean					
12.8 Trolleys and conveyances made of non-corrosive easily cleaned materials with no rust					
12.9 Absence of wood unless permitted					

Element to evaluate	Mi	Ma	Se	Cr	Observations
13. Cleaning & Sanitizing Facilities (5.1.2)					
13.1 Are facilities adequate and capable of being cleaned?					
13.2 Are cleaning and sanitizing equipment stored hygienically?					
14. Handwashing facilities (4.4.1)					
14.1 Non-hand operable					
14.2 Is there soap, hand-drying and waste containers readily available close by?					
14.3 Do the facilities have adequate water pressure and volume?					
14.4 Is there signage reminding staff to wash their hands?					
15. Effluent waste disposal (4.4.2)					
15.1Pprevents contamination and harbourage to pests?					
15.2 Are septic tanks located to prevent contamination?					
15.3 Are effluent lines adequate to remove the waste without contamination?					
16. Lighting (4.4.3)					
16.1 Is there adequate lighting to perform tasks at hand i.e. lumens, not distort colours?					
16.2 Protected by covers, easy to clean?					
16.3 Is lighting recessed or cleaned regularly?					
17. Ventilation (4.4.4)					
17.1 Does it prevent contamination?					
17.2 If appropriate is there effective filter management?					
17.3 Does ventilation flow from clean to dirty areas?					
18. Water/Ice/Steam (4.4.5)					
18.1 Sufficient potable water available at adequate pressure and volume?					
18.2 Is water analysed and records available (chlorine and microbiology)?					
18.3 Is water adequately chlorinated or other treated?					
18.4 If non-potable water is used is this carried in separate identifiable lines?					
18.5 Is plumbing and water lines in good condition?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
18.6 Is there backflow prevention between potable and non-potable supplied?					
18.7 Is ice clean and clean containers used?					
18.8 If steam is used is it free of contamination?					
18.9 If recycled water used, Is it potable, regularly monitored with results available?					
19. Laundry (4.4.6)					
19.1 If external is the process controlled to be hygienic?					
19.2 If internal is there adequate capacity and performed hygienically?					
20. General cleaning (5.1)					
20.1 Is the main processing area and equipment kept in good repair					
20.2 Dry work areas: are they kept clean and in good repair?					
20.3 *Walls*: are they kept clean?					
20.4 *Drains:* Do they drain freely with no build ups					
20.5 *Ceilings/Light fixtures:* are they kept clean?					
20.6 *Tables/ Utensils*: Are they cleaned and disinfected at the end of each shift					
20.7 *Equipment storage*: is it hygienic and well maintained?					
20.8 *Containers*: Are they kept clean and well maintained?					
21. Waste storage/disposal (5.1.4)					
21.1 Is waste removed at least once a day from main processing?					
21.2 If storing guts are containers below the level of the processing table?					
21.3 Are containers cleaned and sanitised after use?					
22. Pests (5.1.6)					
22.1 Is there an absence of pests in the main processing area(s)?					
22.2 Is there an absence of domestic animals?					
22.3 Are bait stations/fly zappers available, in good condition and correctly positioned?					
23. Hazardous substances (5.1.7)					
23.1 Are chemicals correctly labelled?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
23.2 Are chemicals stored in a separate, secure place away from processing?					
23.3 Are MSDS sheets available for chemicals used?					
24. Personal Hygiene (5.2)					
24.1 Is there no smoking, eating in processing or coughing/sneezing over product?					
24.2 Are cuts, sores and illnesses correctly addressed?					
24.3 Does personal conduct prevent contamination?					
24.4 Is there an absence of staff wearing personal items of clothing, jewellery, etc?					
24.5 Do staff wash hands when required?					
24.6 Are gloves and aprons clean and waterproof?					
25. Protective clothing (5.2.2)					
25.1 Does clothing include hats, aprons, gumboots, and masks (if appropriate)?					
25.2 Is protective clothing clean and worn correctly?					
26. Cross Contamination (5.3.2)					
26.1 Is there adequate control for the avoidance of cross contamination?					
27. Processing Requirements (5.3)					
27.1 Are there minimal delays in processing?					
27.2 Do processing conditions minimize contamination and pathogen growth?					
28. Production Records (5.3.5)					
28.1 Are they available, complete, signed and dated?					
29. Cold/Chill stores (4.3.6/5.4)					
29.1 Are they equipped with adequate temperature measuring devices? (EU)					
29.2 Are the floor, walls, ceiling, doors and hatches in good repair?					
29.3 Is lighting adequately covered?					
29.4 Is there adequate drainage of defrost water?					
29.5 Does it maintain the correct temperature?					
29.6 Is product off floor and away from contamination?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
29.7 Are temperatures manually recorded at least 24 hourly?					
29.8 Fitted with strip curtains or similar for heat retention?					
29.9 (EU only): are they fitted with an automatic temperature recording device?					
30. Freezers (4.3.6/5.4)					
30.1 Are they clean and well drained?					
30.2 Do they reduce temperature adequately?					
30.3 Are temperatures monitored and records maintained?					
31. Ice Plants (4.3.6.2)					
31.1 Able to produce ice in adequate quantities in clean condition					
31.2 Have walls, ceilings, doors and internal surfaces easily cleaned?					
32. Other Storage Areas (4.3.6.3)					
32.1 Are they pest and dust proof?					
32.2 Are they in good repair with clean racks and shelving?					
32.3 With doors, walls, ceilings and internal surfaces that are smooth, easily cleaned					
32.4 If the store contains exposed packaging are the walls lined?					
33. Reefer Containers (3.3.7)					
33.1 Are container units in good repair and good seals?					
33.2 Are temperatures monitored and records maintained?					
33.3 Positioned on a paved drained area					
34. Raw Materials (5.7.1/5.7.2/5.7.3)					
34.1 Are they protected from spoilage and contamination?					
34.2 Is fish received subject to a temperature and sensory check to meet requirements?					
34.3 Is older stock used first?					
34.3 Is there provision for washing of raw materials where appropriate?					
35. Transport (5.4.4)					
35.1 Are there adequate controls on transporters and records to show this?					
35.2 Are transporters approved (only EU)?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
35.3 Are transport vehicles or containers clean and free of contamination?					
36. Amenities/Changing facilities (4.4.1)					
36.1 Are they well-ventilated and do not open onto production areas?					
36.2 Are toilets and lockers adequate in number?					
36.3 Are adequate Hand washing facilities supplied adjacent to toilets?					
36.4 Are they properly constructed and in good repair?					
36.5 Are they pest proof and dispose of sewerage without contamination?					
36.6 Are detergents, sanitisers and drying facilities available?					
37. Visitors (5.2.8)					
37.1 Are there adequate controls on visitors?					
38. Supervision (5.2.9)					
38.1 Is supervision allocated and occurring?					
39. Calibration (5.3.7)					
39.1 Are records up-to-date and readily available?					
39.2 Has internal calibration been completed on thermometers?					
40. Loading/Unloading (5.3.8)					
40.1 Facilities and equipment in good order?					
41. Product Smoking (5.7.5)					
41.1 Is the smoking process carried out as per the documented HACCP plan?					
41.2 Are smoking units physically separated from other processing areas?					
41.3 Is product handled to prevent contamination after smoking?					
43. Thawing (4.7.3)					
43.1 Is the thawing process carried out in as hygienic manner and prevent contamination and pathogen growth?					
43.2 Thawing water is not recycled or, if recycled, potability is maintained.					
44. Training (5.8)					

Element to evaluate	Mi	Ma	Se	Cr	Observations
44.1 Are records available and up-to-date?					
45. Inventory and Traceability (5.10)					
45.1 Is there adequate inventory control and traceability?					
46. Internal Audit (5.11)					
46.1 Are records available and corrective actions taken as agreed?					
47. Labelling (6.1)					
47.1 Does labelling meet the required standard?					
48. Separation of EU eligible and non-EU eligible product (EU only) (5.3.4)					
48.**1 Is** there adequate separation of EU and non-EU eligible product at all stages?					
49. Ingredients and additives (6.3)					
49.1 Are approved ingredients and additives used (if appropriate)					
50. Sampling and Testing (6.4)					
50.1 Are product test records available for scombroid species processed?					
50.2 Are product test records available for overseas market access requirements e.g. EU lead, cadmium, mercury, inorganic tin?					
51. Certification (6.5)					
51.1 Are copies of certificates available, complete and correct?					

General Comments
Outcome of Verification A/B/C/D

Verifier's name and signature:	Date/Time:
FBO Representative name and signature:	Date/Time:

F05 - Verification of conditions on Ice Plants

Name of the establishment:	Approval Number:
Verification Officers:	Establishment representatives:
References consulted	Date and time of verification:

Element to evaluate	**Mi**	**Ma**	**Se**	**Cr**	**Observations**
1. Production					
1.1 Good general conditions of cleanliness, hygiene and maintenance?					
1.2 Potable water used?					
2. Storage areas					
2.1 *Floors.* Made of materials easy to clean and sanitize?					
2.2 *Floors.* Allows easy drainage of water or it has water removal equipment?					
2.3 *Walls.* Made of impermeable materials easy to clean and sanitize?					
2.4 *Ceiling.* Made of impermeable materials easy to clean and sanitize?					
2.5 *Ceiling* Free of mould, algae, condensation and other undesirable conditions?					
2.6 *Doors* Made of impermeable materials easy to clean and sanitize?					
2.7 *Doors* Is there a door management procedure in place and is the door in good repair?					
2.8 *Lighting (Natural or Artificial***)** Is the lighting adequate and protected?					
2.9 *Delivery area*. 2.9.1 Good general conditions of hygiene and maintenance?					
2.9.2 Effective water drainage					
3. Pest and vermin control					
3.1 Effectiveness assessed against presence of pest and vermin? Records?					
4. Safe Water monitoring					
4.1 Is the fresh water used from a verifiable safe source? Records?					

Element to evaluate	Mi	Ma	Se	Cr	Observations
4.2 Is the sea water used from a verifiable safe source? Records?					
4.3 If non-potable and/or CSW is used is there a distinction between them					
5. Hand basins					
5.1 Are the facilities in entry areas and in sufficient numbers?					
5.2 Are the taps non-hand operated?					
5.3 Have detergent and sanitizing agents available technical specs?					
5.4 Are the facilities provided with disposable hand towels and bins?					
6. Hygiene conditions					
6.1 Good general condition of cleanliness in working areas?					
6.2 Trolleys, containers, boxes, pipes, easy to clean?					
6.3 Cleaning chemicals and utensils store separated and labelled?					
6.4 Cleaning and Pest control chemicals have supplier's guarantees?					
6.5 Facilities used solely for ice production?					
7. Staff training and Hygiene					
7.1 Documented system that covers training, with records?					
7.2 System covers infectious and communicable diseases?					
7.3 System covers control over non-hygienic behaviours?[6]					
7.4 First aid kit contains impermeable dressings for cuts and sores?					
7.5 Adequate and complete protective gear, not expose to the outdoors?					

General Comments

[6] Hand washing. No eating, drinking, smoking, salivating in processing areas. Jewellery rules, etc.

Outcome of Verification A/B/C/D	
Verifier's name and signature:	Date/Time:
FBO Representative name and signature:	Date/Time:

F06 - Verification of conditions on Cold Stores

Name of the establishment:	Approval Number:
Verification Officers:	Establishment representatives:
References consulted	Date and time of verification:

Element to evaluate	**Mi**	**Ma**	**Se**	**Cr**	**Observations**
1. Area and Surrounds					
1.1 Good general conditions of cleanliness, hygiene and maintenance?					
1.2 Free from possible sources of contamination including pest infestation?					
2. Storage areas					
2.1 *Floors.* Made of materials easy to clean and sanitize?					
2.2 *Floors.* Allows easy drainage of water or it has water removal equipment?					
2.3 *Walls.* Made of impermeable materials easy to clean and sanitize?					
2.4 *Ceiling.* Made of impermeable materials easy to clean and sanitize?					
2.5 Doors Made of impermeable materials easy to clean and sanitize?					
2.5.2 Well closing and door management procedure in place					
2.6 *Lighting (Natural or Artificial***)** Is the lighting adequate and protected?					
2.7 *Delivery area*. Good general conditions of hygiene and maintenance?					
2.7.2 Is the area protected from direct sunlight?					
3.Capacity and Temperature control					
3.1 Capacity. Able to maintain raw materials/products at allowed T? [7]					
3.2 Facility/room equipped with a continuous temperature measuring devices?					
3.3 Sensors placed in the warmest area?					
3.4 Monitoring Is there an efficient temperature control programme?					

[7] **Fresh:** towards melting ice (< 4 Cº). **Frozen:** -18Cº. **Brine** -9Cº

Element to evaluate	Mi	Ma	Se	Cr	Observations
4. Freezing/Freezers					
4.1 Freezing equipment adapted to the product and fit for purpose?					
4.2 Plate freezing in less than 3 hours to -18 ^{o}C					
4.3 Tunnel freezing in less than 8 hours at -18^{o}C					
5. Pest and vermin control					
5.1 Effectiveness assessed against presence of pest and vermin? Records?					
6. Safe Water monitoring					
6.1 Is the fresh water used from a verifiable safe source? Records					
7. Hand basins					
7.1 Are the facilities in entry areas and in sufficient number?					
7.2 Are the taps non-hand operated?					
7.3 Are detergent and sanitizing agents available, listed and approved?					
7.4 Are the facilities provided with disposable hand towels and bins?					
8. Hygiene conditions					
8.1 Good general condition of cleanliness in working areas?					
8.2 Forklifts, trolleys, containers, boxes, pipes, easy to clean?					
8.3 Cleaning chemicals and utensils store separated and labelled?					
8.4 Cleaning and Pest control chemicals have supplier's guarantees?					
8.5 Offal and debris managed to preclude cross contamination?					
9. Staff training and Hygiene					
9.1 Documented system that covers training, with records?					
9.2 System covers infectious and communicable diseases?					
9.3 System covers control over non-hygienic behaviours?[8]					
9.4 First aid kit contains impermeable dressings for cuts and sores?					

[8] Hand washing. No eating, drinking, smoking, salivating in processing areas. Jewellery rules, etc.

Element to evaluate	Mi	Ma	Se	Cr	Observations
General Comments					
Outcome of Verification A/B/C/D					
Verifier's name and signature:	Date/Time:				
FBO name and signature:	Date/Time:				

F07 - Verification of conditions and systems on off shore vessels

Applies to vessels holding fish for more than 24 hrs	
Vessel name:	Approval Number:
Verification Officers	Establishment representative
Verification harbour:	Date and time of verification:
Type of vessel: [ ] Brine [ ] Freezer [ ] RSW [ ] Ice	
References consulted:	

Element to evaluate	Mi	Ma	Se	Cr	Observations
Construction and material					
1. Contact surfaces and utensils					
1.1 Designed, constructed and maintained to facilitate hygiene?[9]					
1.2 Minimize the potential for cross contamination from crew activities?					
1.3 Bilge water do not allow for contamination of product?					
1.4 Fish hold in good general condition of cleanliness, hygiene and maintenance?					
1.5 Products protected from direct sunlight					
1.5 CSW used for cleaning?					
2. Hygiene conditions					
2.1 Good general condition of cleanliness in working areas?					
2.2 Fish holds, containers, boxes, pipes, easy to clean?					
2.3 Cleaning chemicals and utensils store separated and labelled?					
2.4 Cleaning and pest control chemicals store separated and labelled?					
2.5 Offal and debris managed to preclude cross contamination?					
2.6 Hydraulic circuits not a risk of contamination					
3. Pest and vermin control					

[9] Includes tools, knifes, ice shovels, condition of fishing holds, separation of food and product holds, etc.

Element to evaluate	Mi	Ma	Se	Cr	Observations
3.1 Effectiveness assessed against presence of pest and vermin?					
4. Safe Water monitoring					
4.1 Is the potable water used from a verifiable safe source?					
4.2 Is the seawater intake away from engine and toilets outlet?					
4.3 Is seawater free from contamination? (no port basin pater used)					
4.4 Ice originated from a controlled provider or made from clean seawater?					
5. Receiving Area					
5.1 Area meets the minimal standards of construction maintenance and hygiene?					
5.2 Offal, debris and drainage managed to preclude cross contamination?					
6. Fish Holds and Temp Control					
6.1 General Holds, tanks or containers used only to store fish and easy to clean?					
6.2 Capacity: Be capable of chilling or freezing for capacity required					
6.3 Ice vessels. Hold in good condition and sufficient space for ice?					
6.4 RSW Vessels. Records of temperature monitoring and control?					
6.5 Brine Vessels Brine not a source of contamination					
6.6 Freezers Automatic Temp recording device that is easily readable for each hold?					
6.7 Cooling capacity Able to maintain fish at required temperature?[10]					
6.8 Thermometer and temperature control equipment calibrated?					
7. Crew training and Hygiene					
7.1 Crew understand the minimal requirements of personal hygiene?					
7.2 Control over infectious and communicable diseases?					
7.3 Control over non-hygienic behaviours?[11]					
7.4 First aid kit contains impermeable dressings for cuts and sores?					

[10] **Fresh:** towards melting ice (< 4 Cº). **Frozen:** -18Cº. **Brine** -9Cº

[11] Hand washing. No eating, drinking, smoking, salivating in processing areas. Jewellery rules, etc.

Element to evaluate	Mi	Ma	Se	Cr	Observations
8 Additives					
8.1 Salt used for brine has supplier's guarantees for its purpose?					
9 Common crew areas[12]					
9.1 Good general conditions of cleanliness, hygiene and maintenance?					
Specific requirements for Vessels listed for direct export					
10. Hygiene control system					
10.1 Satisfactory conditions? Is cleaning effectiveness verified?					
11. Maintenance					
11.1 Includes responsible, records and timeframes?					
11.2 Verification proves effectiveness of the control system?					
12.Goods reception and storage[13]					
12.1 Includes correct identification and backed by supplier's guarantees?					
12.2 Separate storage area for packaging away from receiving area and holds					
13. Quality Monitoring Personnel					
13.1 Are personnel available and knowledgeable?					
13.2 Good hygiene and HACCP manual in place?					
13.3 Trained crew members responsible for GHP and HACCP?					
14. Parasites contro[l14]					
14.1 Includes visual inspection, removal or freezing to <20C for 24hs?					
15. Traceability and Product recall					
15.1 Adequate records to allow for traceability					

[12] Galley, toilets, bunks, etc.

[13] Packaging, labelling, ingredients, Chemicals, pesticides, etc.

[14] Detailed on Reg (CE) no 2074/2005 and annex III, section VIII, chapter II, art. 4, of Reg (CE) no 853/2004

General Comments	
Outcome of Verification A/B/C/D	
Verifier's name and signature:	**Date/Time:**
FBO Representative name and signature:	**Date/Time:**

F07B Fuel Storage Verification and Monitoring form

Fuel Storage Verification and Monitoring Forms (F07B)

Applies to all vessels holding fish for more than 24 hrs.	
Vessel Name: **Country of Registration:** **License No:** **License state:**	**Registration No:** **EU Approval No**: **Flag State:**
Verification officer(s):	**FBO representative(s):**
Verification harbour:	**Date and time of verification:**
	Comments:
1. Total no of fish holds? Any containing fuel?	
2. Volume of fuel on board and where?	
3. Fuel documents/invoice/bunkering receipts/customs bond/ bunkering permits verified? Any other form of documentation that records fuel storage and usage on board?	
4. Submersible pump on board?	
5. Estimated length of fishing trip?	
General Comments	

Verifiers name and signature:
Date:

FBO representative name and signature:
Date:

F08 - Verification of conditions for coastal vessels and ice boats

Applies to vessels holding fish for less than 24 hrs

Vessel name:	Approval Number:
Verification Officers	Establishment representative
Verification harbour:	Date and time of verification:

***mi**=Minor* ***Ma**=Major* ***Se=** Serious* ***Cr=** Critical*

Please note the basis for the requirements in this form come from Appendix Five in the RMI Industry Standards

Element to evaluate	mi	Ma	Se	Cr	Observations
Construction and material					
1. Contact surfaces and utensils					
1.1 Designed, constructed and maintained to facilitate hygiene?					
1.2 Good maintenance condition of fish boxes and holds?					
2. Unload					
2.1 Managed in a way to avoid cross contamination?					
3. Ice usage					
3.1 Ice originated from a controlled provider?					
3.2 Handling of ice minimizes potential for cross contamination?					
4. Fuel storage					
4.1 Separated from catch and ice?					
5 Training and Hygiene					
5.1 Crew understand and practice good hygiene practices?					
5.2 Crew trained in post-harvest management including histamine?					
General Comments					
Outcome of Verification Activity Rating A, B, C or D (or other please specify):					

Element to evaluate	mi	Ma	Se	Cr	Observations	
Verifier's name and signature:						Date/Time:
FBO Representative name and signature:						Date/Time:

F09 - Verification of conditions of landing sites (EU Only)

Based on directives and regulations EC/178/2002, 852, 853, 854/2004	
Name of the wharf: Location of the wharf:	Approval Number:
Verification Officers:	Management representatives:
Date and time of verification:	
References consulted:	

***mi**=Minor* ***Ma**=Major* ***Se=** Serious* ***Cr=** Critical*

Please note the basis for the requirements in this form come from Appendix Five in the RMI Industry Standards

Element to evaluate	mi	Ma	Se	Cr	Observations
1. Products protection against:					
1.1 Dust and engine's black exhaust gases					
1.2 Rodents other pests and domestic animals					
1.3 non-controlled movements of people and traffic					
2.Construction and finishing					
2.1 Easy to clean, impervious material					
2.2 Maintained in good condition					
3. Supply of potable and/or CSW					
3.1 Adequate supply of potable water available at all times					
3.2 Potable water from approved source(verifiable)					
4. Lighting (if offloading is at night)					
4.1 Sufficient lighting whenever necessary					
5.Waste disposal					

Element to evaluate	mi	Ma	Se	Cr	Observations
5.1 Adequate drainage system					
5.2 Containers for solid waste available					
6. Toilets and washing basins (if applicable)					
6.1 Toilets in sufficient number and in good repairs					
6.2 Hand washing basins w/soap/ disinfectant and hand drying facilities?					

Requirements for a hygienic operation (only when landing site in inspected during offloading)					
Elements to inspect	**Mi**	**Ma**	**Se**	**Cr**	**Observations**
1. Handling of FP done properly					
2. Products standing on specific platforms					
3. Adequate general washing and disinfection					
4. Landing operation quick and hygienically done					
5. Ice from an approved source					
6. Ice handling adequate					
7. Presence of non-authorized personnel					
8. Presence of animals into the fenced area					

General Comments	
Outcome of Verification A/B/C/D	
Verifier's name and signature:	Date/Time:
FBO Representative name and signature:	Date/Time:

F10 - Verification of conditions for trucks transporting FP or ice

Name of transport company or vehicle registration number: Owner:	Approval Number:
Verification Officers:	Company representatives:
Identification of the vehicle:	Date and time of verification:
Type: [ ] Freezer [ ] Chiller	

***mi**=Minor* ***Ma**=Major* ***Se=** Serious* ***Cr=** Critical*

Please note the basis for the requirements in this form come from Appendix Five in the RMI Industry Standards

Element to evaluate	mi	Ma	Se	Cr	Observations
1. Contact surfaces and utensils					
1.1 Inside surfaces of trucks smooth, durable, easy to clean?					
1.2 Good maintenance condition of cargo area?					
1.3 Outlet for melt water?					
1.4 Fish Tools made of smooth, non-corrosive and easy to clean materials?					
1.5 fish Containers made of smooth, non-corrosive and easy to clean materials?					
1.6 Ice (when used) obtained from an approved supplier?					
1.7 Handling of ice minimises contamination?					
1.8 Light (when present) of good repair and shielded					
2. Load and Unload					
2.1 Managed in to avoid cross contamination?					
3. Ice usage					
3.1 Ice originated from a controlled provider?					

Element to evaluate	mi	Ma	Se	Cr	Observations
3.2 Handling of ice minimizes potential for cross contamination?					
4. Refrigerated truck					
4.1 Temperature under regime-18°C					
4.2 Recorded and readable temperature (from outside)					
5. Fuel storage					
5.1 Separated from catch and ice?					
6.Waste disposal					
6.1 Adequate drainage system					
7. Training and Hygiene					
7.1 Drivers understand the minimal requirements of personal hygiene?					
7.2 FP handlers wearing clean protective clothing?					
7.3 Training records available					
7.4 Cleaning records and schedule available					
7.5 Truck washed with clean / potable water and disinfected after each use, within an appropriate area that is away from fish and fish handling areas (Landing site/Reception)					
7.6 FP / ice containers and tools washed with clean / potable water, disinfected after each use and safely stored?					

General Comments	
Outcome of Verification: A/B/C/D	
Verifier's name and signature:	Date/Time:
FBO Representative name and signature:	Date/Time:

F11 - Verification of traceability

Name of the establishment:	Approval Number:
Verification Officers:	Representative of the establishment:
Date and time of verification:	
Type of product:	Identification/marks/codes:

Element to evaluate	S	NS	Observations
1. Criteria			
1.1 Provider and/or origin clearly identified and verified?			
1.2 Integrity of the lot maintained during the transport to the establishment?			
1.3 Integrity of the lot maintained during the process in the establishment?			
1.4 Separation or addition of lots is traced/registered?			
1.5 Identification/marks/codes allow tracking of the products from source to destination			
1.6 Product Recall plan is formalized and operational?			
2. Records review			
2.1 Destination of products identified and data is verifiable?			
2.2 Suppliers are listed under the control of the CA for the EU?			
2.3 In case of product recall, records are updated and complete?			
General Comments			
Outcome of the verification: S/NS			

Verifiers name and Signature: _____Date/Time:

FBO Representative Signature: _____Date /Time

F12 – Organoleptic and Parasite evaluation

Name of the establishment:	Approval number:
Verification Officers:	Representatives of the establishment:
Type of product:	Identification/marks/codes:
Processing stage: Temperature of product:	Date of Verification:

Freshness index (FI): A: Good = **3 B:** Medium = **2** **C:** Low = **1** **R:** Reject = **0**

Criteria	**Evaluation**				**Average**	**Commentaries**
Skin	**3**	**2**	**1**	**0**		
Pigmentation						
Slime						
Smell						
Eyes	**3**	**2**	**1**	**0**		
Convexity						
Bloodiness						
Gill Plate	**3**	**2**	**1**	**0**		
Colour						
Slime						
Gills	**3**	**2**	**1**	**0**		
Colour						
Slime						
Smell						
Viscera	**3**	**2**	**1**	**0**		
Smell						
Belly Burnt						
Response to finger pressure						
Texture	**3**	**2**	**1**	**0**		
Total Average						

Visible Parasite check: present/absent in 10 samples?
Observations

Verifier's name and signature:	**Date/Time:**

Application. This section applies to white fish received as specified in EU Council Regulation No. 2406/96.

Criteria				
	Freshness Ratings			
Part of fish inspected	**3**	**2**	**1**	**0**
Appearance				
Skin	Bright pigmentation, bright, shining iridescent colours; clear distinction between dorsal and central surfaces	Loss of lustre and shine; duller colours; less difference between dorsal and ventral surfaces	Dull, lustreless, insipid colours; skin creased when fish curved	Very dull pigmentation; skin coming away from flesh
Skin mucus	Aqueous, transparent, mucus	Slightly cloudy mucus	Milky mucus	Yellowish grey, opaque mucus
Eyes	Convex, bulging; blue-black bright pupil, transparent 'eyelid'	Convex and slightly sunken; dark pupil; slightly opalescent cornea	Flat; blurred pupil; blood seepage around the eye	Concave in the centre ;grey pupil; milky cornea
Gills	Uniformly dark red to purple. No mucus	Less bright colour, paler at edges. Transparent mucus	brown/grey and bleached; mucus opaque and thick	brown or bleached; mucus yellowish grey and clotted
Gills cover	Silvery,	Silvery, slightly red or	Brownish and extensive seepage of blood from vessels	Yellowish
Smell (of gills and abdominal cavity)	Sea weedy	No small of seaweed, neutral smell	Fermented slightly sour,	Rotten
Flesh (cut from abdomen)	Bluish, translucent, smooth, shining No change in original colour	Velvety, waxy, dull Colour slightly changed	Slightly opaque	Opaque
Flesh(texture)	Firm and elastic Smooth surface	Less elastic	Slightly soft (flaccid), less elastic Waxy (velvety) and dull surface	Soft (flaccid) Scales easily detached from skin, surface rather wrinkled, inclining to mealy

F13 - Corrective Action Request

Name of the establishment:	EU Approval Number:
Verification Officers:	Representatives if the establishment:
Reference Checklists:	

Issue	**Required action**	**Timeframe**

Comments	
Verifier's name and signature:	Date/Time:

F15 – CA Training Record

Name of CA officer:	
Commencement Date as CA:	

1. Education

Type of Training	Institution	Dates	Qualification
Primary Education			
Secondary Education			
Tertiary Qualification			

2. Seminars, Training Courses and Other Training (e.g. on-the job training)

Training	Institution	Dates	Qualification

FCA3: Official Laboratory Assessment Criteria

Laboratory Name:	CA Officer
Virtual Address:	
Sample type tested: Food Water Other	**Scope of Testing** Chemical Microbiology Other
References consulted:	**Date and time of Assessment:**

Designation of Official laboratory - Regulation (EU) 2017/ 625. Article 37 - 40.			
1.0 General Criteria & Arrangements	**Yes**	**No**	**Comments**
1.**1 Article 37(2) a.** Arrangements[15] are in place under which the competent authorities are enabled to perform assessments referred to in Article 39(1)[16] or delegate the performance of such assessments to the competent authority where the lab is located.			
1.2 **Article 37(2) b**. The Laboratory is already designated as an official laboratory by the competent authority of the country the lab is located[17].			
1.3 Article 37 (3). The designation of an official lab shall be in writing and shall include a detailed the following;			
1.3.1 The tasks that the lab carries out as an official laboratory			
1.3.2 The conditions under which it carries out the task referred to in point 1.3.1; and			
1.3.3 The arrangements necessary to ensure efficient and effective coordination and collaboration between the laboratory and the competent authority.			
2.0 Designation of Official Laboratory -Reg. (EU) 2017/625 Article 37 (a-e)			
2.1 The CA will only designate the lab if it meets the following criteria;	**Yes**	**No**	**Comments**

[15] MOU of Service Level arrangements of similar

[16] Reg (EU) 2017/625 – Article 39: Audits of Official Laboratories

[17] E.g. If the IAS lab is already a designated lab by the FIJI CA, RMI can use that lab.

2.1.1 Has the expertise, equipment and infrastructure required to carry out analysis or test or diagnosis on samples.			
2.1.2 Has a sufficient number of suitably qualified, trained and experience staff.			
2.1.3 Ensures that the tasks conferred upon it as set out in Article 37 (1) are performed impartially and which is free from any conflict of interests as regards the exercise of its tasks as an official laboratory.			
2.1.4 Can deliver in a timely manner the results of analysis, tests or diagnosis carried out on the samples taken during official control and other official activities.			
2.1.5 Operates in accordance with the standards EN ISO/IEC 17025 and accredited in accordance with that standards by a national accreditation body operating in accordance with Regulation (EC) No. 765/2008.			
3.0 The scope of the accreditation			
3.1 The scope of the accreditation of an official laboratory as referred to in point 2.1.5 shall;	**Yes**	**No**	**Comments**
3.1.1 Include those methods of laboratory analysis, tests or diagnosis required to be used by the laboratory for analysis, tests of diagnosis, where it operates as an official laboratory;			
3.1.2 Has a sufficient number of suitably qualified, trained and experience staff.			
3.1.3 May comprise one of more methods of laboratory analysis, tests of diagnosis or groups of methods			
3.1.4 May be defined in a flexible manner, so as to allow the scope of accreditation to include modified versions of the methods used by the official laboratory when the accreditation was granted or methods in addition to those methods, on the basis of the laboratory's own validation without as specific assessment by the national accreditation body prior to the use of those modified or new methods.			

4.0 No official Laboratory			
4.1 Where there is no official laboratory or contracting lab to the arrangements in accordance to Article 37 (1), has the expertise, equipment, infrastructure and staff necessary to perform a new or uncommon laboratory analysis, tests of diagnosis, the competent authority may request the lab or diagnostic center which does not comply with one of more of the requirements set out in 2-3 to carry out those analysis, tests or diagnosis.			

Name of CA Official	
Signature	
Date and time	

F16 – Official List of Approved Establishments

OFFICIAL LIST OF APPROVED EXPORT ESTABLISHMENTS

Establishment Name:		**Approval No.:**		**Date of Approval:**	
Physical Address	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**
Establishment Name:		**Approval No.:**		**Date of Approval:**	
Physical Address	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**
Establishment Name:		**Approval No.:**		**Date of Approval:**	
Physical Address	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**
Establishment Name:		**Approval No.:**		**Date of Approval:**	
Physical Address	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**

–

F17 – Official EU External List of Exporters

OFFICIAL LIST OF EXTERNAL LIST OF EU EXPORTERS

Operator Name:			**Approval No.:**		**Date of Approval:**	
Establishment or Vessel Name	**Physical Address**	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**
Operator Name:			**Approval No.:**		**Date of Approval:**	
Establishment or Vessel Name	**Physical Address**	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**

Updated Issue Date: _____

Approval Signature: _____

F18 – Official EU Internal List

OFFICIAL LIST OF APPROVED INTERNAL EU OPERATORS

Establishment Name: Limited		**Approval No.:**		**Date of Approval:**	
Physical Address	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**
Establishment Name:		**Approval No.:**		**Date of Approval:**	
Physical Address	**Postal Address**	**Phone No.:**	**Markets**	**Species**	**Forms**

Updated Issue Date: _____

Approval Signature: _____

The Republic of the Marshall Islands
MARSHALL ISLANDS MARINE RESOURCE AUTHORITY
PO Box 860 – Majuro, Marshall Islands MH 96960
Tel: (692) 8262/5632, Fax: (692) 625-5447

F19 - ANNUAL CA REVIEW

Date of Review	
Name of Reviewer	
Scope of Review	
Findings	
Results of Verifications per approved establishment, facility or vessel:	
Land-based establishment ratings:	

1. PPF

Month	*Inspection outcome: A, B, C, D*	*Non-compliances*		*Certificates*		
		No. identified	*No. closed out*	*No. raised*	*Type (EU, non-EU etc.)*	*No. of Replacement Certificates*
January						
February						
March						
April						
May						
June						
July						
August						
September						
October						
November						
December						
Comments:						

2. PII

January	Inspection outcome: *A, B, C, D*	Non-compliances		Certificates		
		No. identified	No. closed out	No. raised	Type	
February						
March						
April						
May						
June						
July						
August						
September						
October						
November						
December						
Comments:						

Results of Verifications per approved establishment, facility or vessel:					
Vessel ratings:					
1.					
January	Inspection outcome:	Non-compliances		Certificates	
	A, B, C, D	No. identified	No. closed out	No. raised	Type
February					
March					
April					
May					
June					
July					
August					
September					
October					
November					
December					
Comments:					
2.					
January	Inspection outcome:	Non-compliances		Certificates	
	A, B, C, D	No. identified	No. closed out	No. raised	Type
February					
March					
April					
May					
June					
July					
August					
September					
October					
November					
December					
Comments:					
3.					
January	Inspection outcome:	Non-compliances		Certificates	
	A, B, C, D	No. identified	No. closed out	No. raised	Type
February					
March					
April					
May					
June					
July					
August					
September					
October					
November					
December					
Comments:					

Results of Verifications per approved establishment, facility or vessel:					
Vessel ratings:					
4.					
January	Inspection outcome:	Non-compliances		Certificates	
	A, B, C, D	No. identified	No. closed out	No. raised	Type
February					
March					
April					
May					
June					
July					
August					
September					
October					
November					
December					
Comments:					
5.					
January	Inspection outcome:	Non-compliances		Certificates	
	A, B, C, D	No. identified	No. closed out	No. raised	Type
February					
March					
April					
May					
June					
July					
August					
September					
October					
November					
December					
Comments:					
6.					
January	Inspection outcome:	Non-compliances		Certificates	
	A, B, C, D	No. identified	No. closed out	No. raised	Type
February					
March					
April					
May					
June					
July					
August					
September					
October					
November					
December					
Comments:					
Results of Verifications per approved establishment, facility or vessel:					

Vessel ratings:

7.

January	Inspection outcome: *A, B, C, D*	Non-compliances		Certificates	
		No. identified	No. closed out	No. raised	Type
February					
March					
April					
May					
June					
July					
August					
September					
October					
November					
December					

Comments:

EU Cold Store ratings:

Nil at this stage

EU Landing Site ratings:

Nil at this stage

EU Ice Plant ratings:

Nil at this stage

EU Transport ratings:

Nil at this stage

Rejection, rapid alerts and problems encountered:

Inspection Reporting Review:

Certification Review:

Sampling and Testing Results: (A = acceptable; U = unacceptable; NT = not tested)						
Fish						
Lead:						
Cadmium						
Mercury:						
Inorganic Tin:						
Dioxins and PCBs:						
Benzo(a)pyrene:						
Histamine:						

Water – audit monitoring		
TPC:	***E. coli:***	***Enterococci:***
Acrylamide:	***Antimony:***	***Arsenic:***
Benzene:	***Benzo(a)pyrene:***	***Boron:***
Bromate:	***Cadmium:***	***Chromium:***
Copper:	***Cyanide:***	***1,2-dichloroethane:***
Epichlorohydrin:	***Fluoride:***	***Lead:***
Mercury:	***Nickel:***	***Nitrate:***
Nitrite:	***Pesticides:***	***Pesticides – total:***
Polycyclic hydrocarbons:	***Selenium:***	***Tetrachoroethane and trichloroethene:***
Trihalomethanes:	***Vinyl chloride:***	***Chloride:***
Manganese:	***Sulphate:***	***Sodium:***

Water – check monitoring				
Ammonium:				
Colour:				
Conductivity:				
pH:				
Odour:				
Taste:				
Turbidity:				
Aluminium:				
Escherichia coli:				
Total coliforms:				

Other:

Signed: _____ Name: _____

F20A: INTERNAL AUDIT FORM – RAPID ALERT AND FORMAL CA FRAMEWORK

Section of NCP/CA Manual	***Outcome of Document Review***	***Outcome of Record Review*** *(where appropriate)*	***Comments***	***Corrective Action (if any)***
8.1 – Background				
8.2 – Organisation for Rapid Alert				
8.3 - Traceability				
1.1 Scope				
1.2 European Union				
2.1 Scope of Formal CA Framework				
2.2 Legal Background				
2.3 Organisation				
3 Facilities and Equipment				

Signed:

Auditor:_____ Date:_____

Auditor Name:_____

F20B: INTERNAL AUDIT FORM – MONITORING PROGRAMMES AND LABORATORIES

Section of NCP/CA Manual	***Outcome of Document Review***	***Outcome of Record Review*** *(where appropriate)*	***Comments***	***Corrective Action (if any)***
5 - General Official Controls for Export				
6.1 – EU Official Controls for Export				
10 – Official Controls for Laboratories				
CA Procedures Manual section 2.2				

Signed:

Auditor: _____ Date: _____

Auditor Name: _____

F20C: INTERNAL AUDIT FORM – LISTING PROTOCOL

Section of NCP/CA Manual	***Outcome of Document Review***	***Outcome of Record Review*** *(where appropriate)*	***Comments***	***Corrective Action (if any)***
4.1 - General Principles of Listing				
4.2 – Types of Lists				
4.3 - Listing Mechanism				
4.4 – Changes to Listings				
4.5 – Voluntary Delisting				
4.6 – Delisting of Fish Premises by EU				
4.7 – Communication of Changes				
4 8 – Exports to Other Countries from EU Listed Establishments				

Signed:

Auditor: _____ Date: _____

Auditor Name: _____

F20D: INTERNAL AUDIT FORM – INSPECTION AND CERTIFICATION

Section of NCP/CA Manual	***Outcome of Document Review***	***Outcome of Record Review*** *(where appropriate)*		***Corrective Action (if any)***
		Date of Record Reviewed	***Findings***	
6.2.1 – Types of Regulatory Verification and section 2.1 of the CA Procedures Manual				
6.2.2 – The result system				

CERTIFICATION RECORD REVIEW				
Is the correct version and issue of the Health Certificate being used?	N/A			
Are all the details on the certificate correct and complete?	N/A			
For EU certificates have the details given in NCP Section 7.2 been followed including wording and details required	N/A			
Consider the number of replacement health certificates issued				

Signed:

Auditor: _____ Date:_____

F20E: CA INTERNAL CORRECTIVE ACTION REQUEST

Car No.:	**Issued by:**
NON – CONFORMITY IDENTIFIED	
ROOT CAUSES OF NON-CONFORMITY	
SYSTEM IMPROVEMENTS AGREED BETWEEN AUDITOR AND AUDITEE Proposed Completion Date:	
Auditee Signature:	Date:
VERIFICATION OF SYSTEM IMPROVEMENTS:	

Date	**Results**

Auditor Signature:	Date:

Copies to: Auditee
File

F21 – CA Sampling Form

Date of Sampling:			
Type of Sampling: please circle	**Microbiological**	**Chemical**	**Other: (please specify)**
Details of Sampling			
Laboratory Details	Name:		
	Contact Address:		
Production codes (if appropriate)			
Product type/description			
Details of Sampling:			
Test Required:	**Methodology:**		
Acceptable Limits:	Limit:	Result:	

Reviewer Signature: _____ Date: _____

Reviewer Name:

F22 – List of CA Equipment

Item	***Serial No.***	***Description***

17

F23 Calibration record

F23 – CALIBRATION RECORD					
Item	***Serial No.***	***Type of Calibration*** ***(annual/ice point/boiling water)***	***Calibration Date***	***Results/Corrective Action and comments***	***Signature***

17.4 Additional Annexes

F25A Application Form – Exporter Registration & listing

Application Form: Exporter registration and listing (F25A)	**CA Verification**
1. Exporter Identification	
A unique identification will be assigned to each exporter. Refer form guidelines for criteria.	
Registration ID:	
2. Applicant Name:	
Registered company name or partnership names (including the trading name) or individual name.	
Full legal name:	
3. Business Address and Contact Details:	
Physical (for service/delivery of items):	
Phone No:	
Fax No:	
Postal (for communication):	
E-mail:	
4. Processing Establishment Address(es) and Contact Details:	
Only complete if the Processing establishment details are different from the business address in Section 3.	
Legally registered address:	
Phone No:	
Fax No:	
E-mail:	
5. Type of listing: Tick [.] as many product categories as are applicable	

Exporter	**Supplier**
[ ] Processing Establishment	[ ] Fishing Vessel [ ] *Coastal* [ ] *Off Shore* [ ] *Reefer*
[ ] Fishing Vessel	
[ ] Cool Store	[ ] Cool Store
	[ ] Ice Factory
	[ ] Transporters
Type of Product	
[ ] Wild Caught [ ] *Fresh/Frozen* [ ] *Smoked* [ ] *Conserved*	Others: *(specify)*
Markets sought: [ ] EU [ ] Other (see over)	Others: *(specify)*

6. Applicant Declaration: ***To be completed by applicant*****.** **I declare that:**	
(a) I am authorised to make this application as the exporter or person with legal authority to act on behalf of the exporter; and	
(b) the information supplied in this application is truthful and accurate to the best of my knowledge; and	
(c) the applicant is an RMI resident, and in within the meaning of applicable sections of company registrations and tax purposes legislation, and	
(d) I accept that due to the voluntary basis of this registration, it would be expected from the company to comply with production and compliance standards, as well as verification frequency that could exceed the requirements of the prevailing RMI legislation, and	
(e) I accept that verifications and control of Fish &Fishery Products processing establishments exporting fish and fishery products, will as be performed by MIMRA (CA), and	
(f) I accept that the obtaining of this registration is conditional to a positive outcome of an Verification visit performed by Competent Authority against standards lay down under the relevant regulations and the contents of the National Control Plan issued and managed by the CA, and	
(g) I accept that maintaining this registration as part of the listing of companies allowed to export of fish and fishery products, is dependent on continuous regulatory compliance and on-going performance against standards lay down under the relevant legislation (including overseas market access requirements) and the contents of the National Control Plan issued and managed by the CA, and	
(h) I accept that receiving health certificates that this registration entitles me, is dependent on regulatory compliance and on-going performance against standards lay down under the relevant legislation (including overseas market access requirements) and the contents of the National Control Plan issued and managed by the CA	
Name:	**Date:**
Designation:	**Signature:**
Attachments: Product flow diagram HACCP plan Equipment and Facilities details	 Site plan Supporting programmes Details of services (water, power etc.)
Notes Section 1: A unique identification will be assigned to each exporter and must not be the same as any other identification used in regard to any other activity regulated under these regulations. In case the applicant holds identification as an exporter to the EU under prior verification regimes, this ID would be maintained.	
Official Use Only:	

F25B Amendments to Approval Details

Application Form: Amendments to Exporter registration and listing	**F25B**
Application Form: Exporter registration and listing	
1. Exporter Identification	
Registration ID:	
2. Applicant Name:	
Registered company name or partnership names (including the trading name) or individual name.	
Full legal name:	
3. Business Address and Contact Details:	
Physical (for service/delivery of items):	
Phone No:	
Fax No:	
Postal (for communication):	
E-mail:	
4. Processing Establishment Address(es) and Contact Details:	
Only complete if the Processing establishment details are different from the business address in Section 3.	
Legally registered address:	
Phone No:	
Fax No:	
E-mail:	
5. Type of listing: Tick [.] as many product categories as are applicable	

Exporter	**Supplier**
[ ] Processing Establishment	[ ] Fishing Vessel [ ] *Coastal* [ ] *Off Shore* [ ] *Reefer*
[ ] Fishing Vessel	
[ ] Cold Store	[ ] Cold Store
	[ ] Ice Factory
	[ ] Transporters
Type of Product	
[ ] Wild Caught [ ] *Fresh/Frozen* [ ] *Smoked* [ ] *Conserved*	Others: *(specify)*
Markets sought: [ ] EU [ ] Other (see over)	Others: *(specify)*

F26 Vessel and transport data sheets

Vessel data sheet				**F 26**
Date:	Location:			
Inspectors name:		Inspection ref:		
Time spent on inspection:		FBO rep:		
Vessel details				
Vessel Name		Registration Number		
Flag State		Inspection Ref.		
Vessel Approval Reference Number		Vessel Approval Date		
Vessel Owner		Address/contact detail(s)		
Vessel Gross Tonnage		Vessel Net Tonnage		
License Number (if dual license state both)		Number of crew		
Vessel Type	*[ ] Transport [ ] Factory [ ] RSW [ ] Ice [ ] Brine [ ] Freezer*			
Fishing Methods	(A vessel can have multiple fishing method)			
	Type 1: Trawler			
	Type 2: Lon line			
	Type 3: Pole and Line			
	Type 4: Purse Seiners			
	Type 5: Gill Netting			
	Type 6: Deep Sea Fishing		(Please state)	
	Type 7: Other			

F27 Transport Data Sheet

Transport Data Sheet			**F27**
Date: _____	Inspection Place	_____	
Inspectors Name: _____		Inspection Ref	_____
Time spent for on Inspection; From_____		To _____	Hours_____

Vehicle Details

Vehicle Registration Number	_____	Approval Reference Number:	_____
Vehicle Make	_____		_____
Vehicle Model	_____	Year of registration	_____
Vehicle Owners Name	_____	Tel:	_____
Company	_____	Company Approval No.	_____
Address:	_____		

Vehicle Type

A	Flat-bed or pickup truck with removal insulated Ice Box.	☐	
B	Truck with fixed insulated and closed cargo area for use with iced, open fish boxes.	☐	
C	"Reefer" Truck with fixed insulated and closed cargo area with mechanical refrigeration unit.	☐	
D	Tractor Unit for transportation of shipping (freezer)containers	☐	
E	Other.	☐	

Vehicle approved for transport of:			
	Iced fresh fish / ice	☐	
	Fresh packed fishery products.	☐	
	Frozen packed fish and fishery products	☐	
	Waste for disposal	☐	
	Other (Please State)	☐	_____

Inspectors Signature	. . . . .	Date	. . . . .

F28 Imported Fish Inspection Form

Import Inspection Record				**F28**
Exporting Country		Establishment Approval Number		
Date of Import		Means of Transport:	Airplane ☐ Ship ☐	Road Vehicle ☐
Port of Entry		Product Storage Temp	Ambient ☐ Chilled ☐	Frozen ☐
Establishment Name		Consignment Weight		
		Type of packaging		
Health Certificate Number		Number of Packages		
(copy to be supplied)				

Product Batch Number	**Species**	**Net weight Kg**	**No. Packages**	**Processor Approval Number**	**Product Description**	**Organoleptic Assessment E, A, B, Unfit**	**Product Temp °C**	**Other Analysis Conducted**	**Analysis Results**	**CA Checked**
Official Use Only	Totals									

Signature of Establishments' Quality Manager		Date	

Certification for Import (to be completed by approved C.A. Inspector

Inspection of Fishery Product for Export,	Date		Inspection of Fishery Product for Export Number
Health Certificate for Export:	Date		Health Certificate for Export Number

The Republic of the Marshall Islands
MARSHALL ISLANDS MARINE RESOURCE AUTHORITY
PO Box 860 – Majuro, Marshall Islands MH 96960
Tel: (692) 8262/5632, Fax: (692) 625-5447

F29 Health Certificate Export Information form

Please complete the following form in MS Word software so that the CA has all the necessary information to complete your Health Certificate. Please send the file by e-mail to the nearest CA office

Destination of Export (please tick): European Union ☐ Non-European Union

I.1. Consignor Name 6 Address Postal code Tel. No.			I.2. Certificate reference number ☐ I.3. Central Competent Authority I.4. Local Competent Authority		
I.5. Consignee Name Address /Postal Code Tel. No.			I.6.		
I.7. Country of origin ISO Code	1.8. *Region of origin* Code		I.9. Country of destination	ISO Code	I.10.
I.11. Place of origin Name: Approval number: Address:			I.12.		
I.13. Place of loading			I.14. Date of departure		
I.15. Means of transport Aeroplane ☐ Ship ☐ Railway wagon ☐ Road vehicle ☐ Other ☐ Identification: Documentary references			I.16. Entry BIP in EU I.17.		
I.18. Description of commodity			I.19. Commodity code (HS code) I.20. Quantity		
I.21. Temperature of product Ambient ☐ Chilled ☐ Frozen ☐			I.22. Number of packages		
I.23. Identification of container and seal number			I.24. Type of packaging		
I.25. Commodities certified for: Human consumption ☐					
I.26.			I.27. For import or admission into EU ☐		

I.28. Identification of the commodities

Specie			Approval number of establishments		
(Scientific name)	Nature of commodity	Treatment type	Manufacturing plant	Number of packages	Net weight

The Republic of the Marshall Islands
MARSHALL ISLANDS MARINE RESOURCE AUTHORITY
PO Box 860 – Majuro, Marshall Islands MH 96960
Tel: (692) 8262/5632, Fax: (692) 625-5447

F30 Request to Amend Health Certificate Information

Application Form: Health Certificate Information	**F30**
Original Health Certificate Ref. No.:	
Change/Re-issue Required: **(please be as specific as possible giving actual replacement information required). SI CA reserves the right to refuse the re-issue of a health certificate**	
Company Justification for Change:	
FOR CA USE ONLY:	
Request approved or denied: (circle as appropriate): APPROVED DENIED	
Reasons:	
Replacement Certificate No.:	
Signature of certifying officer:	
Name of certifying officer:	
Date:	

Please complete return to:

Email :

22.1 *FCA 8* - General Health Certificate

FISHERIES PRODUCTS HEALTH CERTIFICATE

Marshall Islands Marine Resource Authority

PO BOX 860 – Majuro +692 625 8262

Export certificate ID no.		Date	

Section 1. Consignor

Port of exportation	***Consignor***	***Contact Details***	***Name of container vessel or carrier***

Section 2. Consignee

Country	***Consignee***	***Contact Details***	***Date of exportation***

Section 3. Products Exported

Line #	Species	Product type	Product weight in kg	Containers ID or Bulk Carrier
1				
2				
3				
4				
Totals				*Number of containers*

Section 3 Attestation

It is hereby certified that the above captioned product:

1. *The fish were processed in a premise approved by and under the control of the RMI Competent Authority;*
2. *Have been caught, landed, where appropriate packaged, handled, marked, prepared, processed, frozen, thawed, stored and transported under conditions laid down under the Fish Export Regulations 2012.*
3. *Do not come from toxic species or species containing biotoxins;*
4. *The products have been handled, processed, identified, stored and transported under an approved HACCP (Hazard Analysis and Critical Control Point) consistently implemented and in accordance with the requirements laid down by Competent Authority.*
5. *The fish were wild caught and not grown or harvested in an aquaculture system at any stage*

Section 4. Certification		*Stamp*
Certifying MIMRA Officer Name	*Validation date*	

FCA 9 - Hygienic Handling Certificate

HYGIENIC HANDLING CERTIFICATE

Marshall Islands Marine Resource Authority

PO BOX 860 – Majuro +692 625 8262

Hygienic Handling certificate no.		Date	

Section 1. Fishing vessel identity

Vessel name	Flag state	Fishing Authorization	Fishing licence validity	Licenced fishing areas	FFA Vessel Reg

Section 2. Products Exported

Line #	Species	Product type	Product weight in kg	Containers ID or Bulk Carrier
1				
2				
3				
Totals				*Number of containers*

Section 2. *Consignment details*

Export destination	***Consignee***	***Contact Details***	***Date of exportation***
Port of exportation	***Consignor***	***Contact Details***	***Name of container vessel or carrier***

Section 3 Attestation

It is hereby certified that the above captioned product:

a) Containerized product: The frozen fish was unloaded from the refrigerated cargo hold of a fishing vessel and landed, placing the frozen fish out of reach of any freestanding water, dirt and oil contamination. The frozen loose fish was immediately sorted and loaded into the above-identified pre-cooled containers that were found to be sound, clean and free of odours prior to loading.

b) Bulk Carrier: The frozen fish was unloaded from the refrigerated cargo hold of a fishing vessel and immediately transferred to the refrigerated cargo hold of a carrier

c) The product has been handled according to the standard Good Manufacturing Practices (GMP) for frozen seafood.

Section 4. Port State validation		*Stamp*
Certifying MIMRA Officer Name	*Validation date*	

FCA 10 - EU Health Certificate

HEALTH CERTIFICATE FOR EXPORT OF FISH AND FISHERY PRODUCTS TO THE EU

Marshall Islands Marine Resource Authority

PO BOX 860 – Majuro +692 625 8262

<table>
<tr><td colspan="2">COUNTRY</td><td colspan="5"></td><td colspan="4">Official certificate to the EU</td></tr>
<tr><td rowspan="8">Part I: Details of dispatched consignment</td><td colspan="5">I.1. Consignor/Exporter
Name

Address

Tel. No</td><td colspan="4">I.2. Certificate reference No
I.3. Central Competent Authority
I.4. Local Competent Authority</td><td>I.2.a IMSOC reference No</td></tr>
<tr><td colspan="5">I.5. Consignee/Importer
Name

Address
Postal code
Tel. No</td><td colspan="5">I.6. Operator responsible for the consignment
Name

Address
Postal code</td></tr>
<tr><td colspan="2">I.7. Country of origin</td><td>ISO</td><td colspan="2">I.8. Region of origin</td><td>Code</td><td colspan="2">I.9. Country of destination</td><td>ISO</td><td>I.10.</td></tr>
<tr><td colspan="3">I.11 Place of dispatch

Name
Address</td><td colspan="3">Approval No</td><td colspan="3">I.12. Place of destination

Name
Address</td><td></td></tr>
<tr><td colspan="6">I.13. Place of loading</td><td colspan="4">I.14. Date and time of departure</td></tr>
<tr><td colspan="3">I.15. Means of transport

Aeroplane ☐
Road vehicle ☐
Identification:</td><td colspan="2">Vessel ☐
Railway ☐</td><td>Other ☐</td><td colspan="4">I.16. Entry BCP
I.17. Accompanying documents

Type
No</td></tr>
<tr><td colspan="3">I.18. Transport conditions

Ambient ☐</td><td colspan="2">Chilled ☐</td><td>Frozen ☐</td><td colspan="4"></td></tr>
<tr><td colspan="9">I.19. Container No/Seal No</td></tr>
</table>

COUNTRY **Official certificate to the EU**

I.20. Goods certified as							
Canning industry	☐	Fattening	☐	Technical use	☐	Trade samples	☐
Animal feedingstuff	☐	Quarantine	☐	Pharmaceutical use	☐	Circus/exhibition	☐
Human consumption	☐	Further process	☐	Approved body	☐	Pets	☐
Breeding/production	☐	Slaughter	☐	Relaying	☐	Other	☐
Game restocking	☐	Artificial reproduction	☐	Registered equidae	☐		

I.21. For transit ☐		I.22. For internal market ☐	
Third country	ISO	Definitive import ☐ Re-entry ☐ Temporary admission ☐	

I.23. Total number of packages	I.24. Quantity Total number	Total net weight (Kg)	Total gross weight (Kg)

I.25. Description of goods

No Code and CN title

Species (scientific name) Age	Breed/Category Sex	Identification system Quantity	Identification No Test

Species (Scientific name) Zone Abattoir Final consumer Number of packages ☐	Nature of commodity Manufacturing plant Net weight Batch No	Treatment type Cold store Type of packaging

Stamp	Signature

COUNTRY **Fishery products**

II. Health information	II.a. Certificate reference number	II.b.

Part II: Certification

II.1. ([1]) **Public health attestation**

I, the undersigned, declare that I am aware of the relevant provisions of Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety (OJ L 31, 1.2.2002, p. 1), Regulation (EC) No 852/2004 of the European Parliament and of the Council of 29 April 2004 on the hygiene of foodstuffs (OJ L 139, 30.4.2004, p. 1) and Regulation (EC) No 853/2004 of the European Parliament and of the Council of 29 April 2004 laying down specific hygiene rules for food of animal origin (OJ L 139, 30.4.2004, p. 55)) and Regulation (EU) 2017/625 of the European Parliament and of the Council of 15 March 2017 on official controls and other official activities performed to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products, amending Regulations (EC) No 999/2001, (EC) No 396/2005, (EC) No 1069/2009, (EC) No 1107/2009, (EU) No 1151/2012, (EU) No 652/2014, (EU) 2016/429 and (EU) 2016/2031 of the European Parliament and of the Council, Council Regulations (EC) No 1/2005 and (EC) No 1099/2009 and Council Directives 98/58/EC, 1999/74/EC, 2007/43/EC, 2008/119/EC and 2008/120/EC and repealing Regulations (EC) No 854/2004 and (EC) No 882/2004 of the European Parliament and of the Council, Council Directives 89/608/EEC, 89/662/EEC, 90/425/EEC, 91/496/EEC, 96/23/EC, 96/93/EC and 97/78/EC and Council Decision 92/438/EEC (Official Controls Regulation) (OJ L 95, 7.4.2017, p. 1) and certify that the fishery products described above were produced in accordance with those requirements, in particular that they:

— come from (an) establishment(s) implementing a programme based on the hazard analysis and critical control points (HACCP) principles in accordance with Article 5 of Regulation (EC) No 852/2004;

— have been caught and handled on board vessels, landed, handled and where appropriate prepared, processed, frozen and thawed hygienically in compliance with the requirements laid down in Section VIII, Chapters I to IV of Annex III to Regulation (EC) No 853/2004;

— satisfy the health standards laid down in Section VIII, Chapter V of Annex III to Regulation (EC) No 853/2004 and the criteria laid down in Commission Regulation (EC) No 2073/2005 of 15 November 2005 on microbiological criteria for foodstuffs (OJ L 338, 22.12.2005, p. 1);

— have been packaged, stored and transported in compliance with Section VIII, Chapters VI to VIII of Annex III to Regulation (EC) No 853/2004;

— have been marked in accordance with Section I of Annex II to Regulation (EC) No 853/2004;

— fulfil the guarantees covering live animals and products thereof, if of aquaculture origin, provided by the residue plans submitted in accordance with Council Directive 96/23/EC of 29 April 1996 on measures to monitor certain substances and residues thereof in live animals and animal products and repealing Directives 85/358/EEC and 86/469/EEC and Decisions 89/187/EEC and 91/664/EEC (OJ L 125, 23.5.1996, p. 10), and in particular Article 29 thereof; and

►([6]) — have satisfactorily undergone the official controls laid down in Articles 67 to 71 of Commission Implementing Regulation (EU) 2019/627 of 15 March 2019 laying down uniform practical arrangements for the performance of official controls on products of animal origin intended for human consumption in accordance with Regulation (EU) 2017/625 of the European Parliament and of the Council and amending Commission Regulation (EC) No 2074/2005 as regards official controls (OJ L 131, 17.5.2019, p. 51).◄

II.2 ([2]) ([4]) **Animal health attestation for fish and crustaceans of aquaculture origin**

II.2.1 ([3]) ([4]) **[Requirements for species susceptible to epizootic haematopoietic necrosis (EHN), taura syndrome and yellowhead disease**

I, the undersigned official inspector, hereby certify that the aquaculture animals or products thereof referred to in Part I of this certificate:

([5]) originate from a country/territory, zone or compartment declared free from ([4]) [EHN] ([4]) [taura syndrome] ([4]) [yellowhead disease] in accordance with Chapter VII of Council Directive 2006/88/EC of 24 October 2006 on animal health requirements for aquaculture animals and products thereof, and on the prevention and control of certain diseases in aquatic animals (OJ L 328, 24.11.2006, p. 14) or the relevant OIE Standard by the competent authority of my country,

(i) where the relevant diseases are notifiable to the competent authority and reports of suspicion of infection of the relevant disease must be immediately investigated by the competent authority,

(ii) all introduction of species susceptible to the relevant diseases come from an area declared free of the disease, and

II.	Health information	II.a. Certificate reference number	II.b.

(iii) species susceptible to the relevant diseases are not vaccinated against the relevant diseases.]

II.2.2 ([3]) ([4]) **[Requirements for species susceptible to viral haemorrhagic septicaemia (VHS), infectious haematopoietic necrosis (IHN), infectious salmon anaemia (ISA), koi herpes virus (KHV) and white spot disease intended for a Member State, zone or compartment declared disease free or subject to a surveillance or eradication programme for the relevant disease**

I, the undersigned official inspector, hereby certify that the aquaculture animals or products thereof referred to in Part I of this certificate:

([6]) originate from a country/territory, zone or compartment declared free from ([4]) [VHS] ([4]) [IHN] ([4]) [ISA] ([4]) [KHV] ([4]) [White spot disease] in accordance with Chapter VII of Directive 2006/88/EC or the relevant OIE Standard by the competent authority of my country,

(i) where the relevant diseases are notifiable to the competent authority and reports of suspicion of infection of the relevant disease must be immediately investigated by the competent authority,

(ii) all introduction of species susceptible to the relevant diseases come from an area declared free of the disease, and

(iii) species susceptible to the relevant diseases are not vaccinated against the relevant diseases.]

II.2.3 Transport and labelling requirements

I, the undersigned official inspector, hereby certify that:

II.2.3.1 the aquaculture animals referred to above are placed under conditions in which the water quality does not alter their health status;

II.2.3.2. prior to loading the transport container or well boat is clean and disinfected or previously unused; and

II.2.3.3. the consignment is identified by a legible label on the exterior of the container, or when transported by well boat, in the ship's manifest, with the relevant information referred to in boxes I.7 to I.11 of Part I of this certificate, and the following statement:

'([4]) [Fish] ([4]) [Crustaceans] intended for human consumption in the Union'.

Notes

See notes in Annex II of Commission Implementing Regulation (EU) 2019/628 of 8 April 2019 concerning model official certificates for certain animals and goods and amending Regulation (EC) No 2074/2005 and Implementing Regulation (EU) 2016/759 as regards these model certificates (OJ L 131, 17.5.2019, p. 101)

Part I:

— Box reference I.8: Region of origin: For frozen or processed bivalve molluscs, indicate the production area.

— Box reference I.20: Tick 'Canning industry' for whole fish initially frozen in brine at – 9 °C or at a temperature higher than – 18 °C and intended for canning in accordance with the requirements of Section VIII, Chapter I; point II(7) of annex III to Regulation (EC) No 853/2004. Tick 'Human consumption' for the other cases.

— Box reference I.25: Insert the appropriate Harmonised System (HS) code(s) using headings such as: 0301, 0302, 0303, 0304, 0305, 0306, 0307, 0308, 0511, 1504, 1516, 1518, 1603, 1604, 1605 or 2106.

— Box reference I.25: *Nature of commodity*: specify whether aquaculture or wild origin.

Treatment type: specify whether live, chilled, frozen or processed.

Manufacturing plant: includes factory vessel, freezer vessel, reefer vessels, cold store and processing plant.

Part II:

([1]) Part II.1 of this certificate does not apply to countries with special public health certification requirements laid down in equivalence agreements or other EU legislation.

COUNTRY **Fishery products**

II. Health information	II.a. Certificate reference number	II.b.

([2]) Part II.2 of this certificate does not apply to:

(a) non-viable crustaceans, meaning crustaceans that cannot survive as living animals if returned to the environment from which they were obtained,

(b) fish which are slaughtered and eviscerated before dispatch,

(c) aquaculture animals and products thereof, which are placed on the market for human consumption without further processing, provided that they are packed in retail-sale packages which comply with the provisions for such packages in Regulation (EC) No 853/2004,

(d) crustaceans destined for processing establishments authorised in accordance with Article 4(2) of Directive 2006/88/EC, or for dispatch centres, purification centres or similar businesses which are equipped with an effluent treatment system that inactivates the pathogens in question, or where the effluent undergoes other types of treatment reducing the risk of transmitting diseases to the natural waters to an acceptable level, and

(e) crustaceans which are intended for further processing before human consumption without temporary storage at the place of processing and packed and labelled for that purpose in accordance with Regulation (EC) No 853/2004.

([3]) Parts II.2.1 and II.2.2 of this certificate only apply to species susceptible to one or more of the diseases referred to in the heading of the point concerned. Susceptible species are listed in Annex IV to Directive 2006/88/EC.

([4]) Keep as appropriate.

([5]) For consignments of species susceptible to EHN, taura syndrome and/or yellowhead disease this statement must be kept for the consignment to be authorised into any part of the EU.

([6]) In order to be authorised into a Member State, zone or compartment (boxes I.9 and I.10 of Part I of the certificate) declared free from VHS, IHN, ISA, KHV or white spot disease or with a surveillance or eradication programme drawn up in accordance with Article 44(1) or (2) of Directive 2006/88/EC, one of these statements must be kept if the consignment contain species susceptible to the disease(s) for which disease freedom or programme(s) apply(ies). Data on the disease status of each farm and mollusc farming area in the Union are accessible at http://ec.europa.eu/food/animal/liveanimals/aquaculture/index_en.htm.

— The colour of the stamp and signature must be different to that of the other particulars in the certificate.

Official inspector

Name (in capital letters): Qualification and title:

Date: Signature:

Stamp:

FCA 11 - China Health Certificate

Marshall Islands Marine Resource Authority

PO BOX 860 – Majuro +692 625 8262

密克罗尼西亚联邦向中华人民共和国出口水产品检验检疫证书

Health Certificate

For Fish and Fishery Products Intended for Export from the Republic of the Marshall Islands to The People's Republic of China

证书号 Num.Ref:

I.主管当局信息 Information of competent authority:	
输出国 Country of export：	
生产国 Country of production:	
主管当局 Competent authority：	
出证部门Department of certificate issuance：	
II 水产品信息 Identification of the fishery products	
商品名称 Commodity name：	
学名Scientific name：	
包装数量 Number of packages：	
净重 Net Weight：	
III.水产品来源Origin of the fishery products	
产地 Production Place：	
加工方式 Processing Type[1]：	
生产模式 Production Mode：	
养殖 Aquacultured： 是Yes□否 No□	野生捕捞 Wild Caught 是 Yes □ 否 No □
养殖区域 Aquaculture area：	捕捞区域 Catch Area ：
	捕捞渔船船名及编号 Name & Number of Vessel for the catch
生产加工企业名称及注册号 Production and processing enterprise name and registration number	

生产日期 Production Date：	
IV运输信息 Information of Transport	
发货人名称及地址 Name and address of Consignor：	
收货人名称及地址 Name and address of Consignee：	
发货地 Place of dispatch production:	
目的地 Place of destination：	
运输工具信息 Means of transport：	
船只名称 Name of Vessel：	
航班号 Flight Number：	
其他运输工具信息other transport means：	
集装箱号 Container Number：	
封识号 Seal Number：	
V健康声明 Health Attestation	

兹证明：This is to certify that:

1.上述产品来自主管当局注册的企业。The above fishery products came from the establishment approved by competent authority.

2. 该产品在卫生条件下生产、包装、储藏和运输，并置于主管当局监督之下。The products were produced, packed, stored, and transported under sanitary condition, which were under the supervision of competent authority.

3. 该产品经主管当局检验检疫，未发现中国规定的有害病菌、有毒有害物质和异物。The products were inspected and quarantined by competent authority and not found any pathogenic bacteria, harmful substances and foreign substances regulated in the P.R. China.

4. 该产品符合兽医卫生要求，适合人类食用。The products meet veterinary sanitary requirements and fit for human consumption.

签发地点 Place of issue	签发日期 Date of issue
官方印章 Official Stamp	官方兽医签字 Official Veterinary Signature

注释Note:1. 冷藏、冷冻、干制、熏制、罐装等。/Refrigerated， Frozen， Dried， Smoked， Canned.

2.此证书内容不适用部分以***填充。/If any of the information required is not applicable, then the blank area must be filled with ***.

Certification Ruling

Fishing Vessel	*EU Listed*	*Package*	*Transport (foreign flagged)*	*EU Listed*	*Additional Comments*	*Destination*	*Health Certificate Type*	*Comments*
RMI flagged	YES	Bulk (separation net)	Carrier	NO		Non-EU	National Health Certificate	
	YES	Bulk (separation net)	Carrier	NO	Not going direct to EU	EU	National Health Certificate	
	NO	Bulk (separation net)	Carrier	NO	Not currently relevant to SI	Non-EU	National Health Certificate	If CA do inspection of trans-shipment in port
	NO	Bulk (separation net)	Carrier	NO	Not currently relevant to SI Not going direct to EU	EU	National Health Certificate	If CA do inspection of trans-shipment in port
RMI flagged	YES	Container	Container Ship	NO	Going direct to non-EU	Non-EU	National Health Certificate	
	YES	Container	Container Ship	NO	Going direct to EU	EU	EU Health Certificate	
	NO	Container	Container Ship	NO	Currently irrelevant in RMI Going direct to EU	Non-EU	National Health Certificate	Subject to inspection of vessel records and container loading
	NO	Container	Container Ship	NO	Currently irrelevant in RMI Going direct to EU	EU	Non-EU eligible because vessel not EU listed	

Fishing Vessel	*EU Listed*	*Package*	*Transport (foreign flagged)*	*EU Listed*	*Additional Comments*	*Destination*	*Health Certificate Type*	*Comments*
Foreign Flagged	YES	Bulk (separation net)	Carrier	Non-EU			No Health Certificate	
	YES	Bulk (separation net)	Carrier	EU			No Health Certificate	
	NO	Bulk (separation net)	Carrier	Non-EU			No Health Certificate	
	NO	Bulk (separation net)	Carrier	EU			No Health Certificate	
Foreign Flagged	YES	Container	Container Ship	NO		Non-EU	Hygienic Handling Certificate	CA to sight unload from vessel and load into containers
	YES	Container	Container Ship	NO	Direct shipment to EU	EU	Hygienic Handling Certificate	CA to sight unload from vessel and load into containers
	NO	Container	Container Ship	NO		Non-EU	Hygienic Handling Certificate	CA to sight unload from vessel and load into containers
	NO	Container	Container Ship	NO		EU	Ineligible for EU market	Ineligible for export to EU but could go to other markets with Hygienic Handling Certificate with CA inspection of container loading

VESSEL LANDINGS INTO LAND-BASED PREMISES:

<u>EU approved land-based premises:</u>

For product being loaded into EU approved land-based premises for processing off:

1. RMI flagged, EU approved vessels: EU eligible
2. RMI flagged, non-EU approved vessels: currently irrelevant but non-eligible for EU
3. Foreign flagged, EU approved vessels: EU eligible provided full land-based premises checks done.
4. Foreign flagged, non-EU approved: non-eligible for EU but eligible for National Health Certificate post land-based premises

Non-EU approved land-based premises:

For product being loaded into non-EU approved land-based premises for processing off:

1. RMI flagged, EU approved vessels: eligible for National Health Certificate post land-based premises
2. I flagged, non-EU approved vessels: eligible for National Health Certificate post land-based premises
3. Foreign flagged, EU approved vessels: eligible for National Health Certificate post land-based premises
4. Foreign flagged, non-EU approved: eligible for National Health Certificate post land-based premises