Practice Logo

**Operational Code: Cats and Dogs to Australia**

APPROVED PRACTICE MANUAL

Veterinary practice name

MPI Approval Number:

Manual Version Date:

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# **Amendment Record**

|  |  |  |
| --- | --- | --- |
|  | **Amendment Number (Version Number)** | **Date** |
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |

# **Scope**

This manual describes how Veterinary Practice Name meets the requirements of the Ministry for Primary Industries (MPI) *Operational Code:* *Cats and Dogs to Australia.*

The MPI requirements are set out on the MPI website and includes the *Operational Code:* *Cats and Dogs to Australia.* These documents can be found at: <http://www.mpi.govt.nz/exporting/animals/pets/cats-and-dogs-to-australia/>.

# **Part 1: Veterinary Practice Information**

|  |  |
| --- | --- |
| **Veterinary Practice name** | **Veterinary Practice approval number** |
|  |  |

|  |
| --- |
| **Veterinary Practice contact information** |
| Physical address: | Postal address: |
| Phone number: |
| Email address(s): |

|  |
| --- |
| **Practice Export Manager (PEM)** |
|  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Approved Veterinarians Name** | **Email Address** | **New Zealand Veterinary Council Registration Number** | **MPI / AsureQuality online assessment completion date** |
|  |  |  |  |
|  |  |  |  |

# **Part 2: Requirements**

## **Registration for approval**

1. Veterinary Practice Name is approved by the Ministry for Primary Industries for certifying cats and dogs including canine and feline semen of New Zealand origin to Australia. All veterinarians participating shall be trained and evidence of their training and veterinary council registration is to be held.
2. Veterinary Practice Name participates in the scheduled audits.

## **Practice Export Manager (PEM) responsibilities**

1. PEM is responsible for ensuring that:
	* They have written authorisation to manage the *Operational Code* in the form of a signed and dated letter from the owner/director or the general manager (if they have the delegations to make such a decision) of the veterinary practice which is kept in the practice *Operational Code* records and submitted to AsureQuality for auditing purposes. This must still occur even if the PEM is the owner/director or the Practice Manager of the practice.
	* The veterinary practice complies with all parts of the *Operational Code*.
	* A Practice Manual that details all procedures related to the *Operational Code* is developed (see Practice Manual template located in Appendix 9).
	* Receipt of export certificate forms are returned to AsureQuality within 10 working days of receipt of the export certificate(s).
	* Blank export certificates are stored according to section 3.3 of the *Operational Code*.
	* A copy of each completed export certificate is returned to AsureQuality within 10 working days of the issue of the signed export certificate.
	* An export certificate inventory is maintained (see Export Certificate Inventory Template located in Appendix 9, Part 7 as an example).
	* Unused export certificates are returned within the requested time frame when an export certificate recall is initiated and when the veterinary practice withdraws from certifying animals for export.
	* Adequate training on all aspects of the *Operational Code*, including all clarifications and relevant official updates, is completed and documented (see Practice Export Training Record Template Appendix 9, Part 7 as an example).
	* Approved Veterinarians are adequately trained in all aspects of certification and this training is documented in the Practice Export Training Record.
	* Only Approved Veterinarians within the practice certify cats and dogs for export to Australia.
	* Internal audits are undertaken at least twice per year in accordance with section 4.3.2 of the *Operational Code*.
	* The internal audit form is documented (see Internal Audit Form located in Appendix 9, Part 7 of the Operational Code as an example).
	* All required information is provided to AsureQuality for practice audits when notified by AsureQuality.
	* AsureQuality is notified as soon as possible where a non-compliance that could affect the export status of a certified cat/dog/semen has been identified by the practice.
	* Non-compliances (both internal and external) are managed and documented (see practice Non-Compliance Spreadsheet / Issues Register located in Appendix 9, Part 7 of the *Operational Code* as an example).
	* AsureQuality is notified in writing (email acceptable) of any changes (i.e. changes in PEM, Approved Veterinarians, change of contact details, etc.) within 10 working days of the change.
	* Necessary arrangements for managing the Operational Code are made in his/her absence and AsureQuality is notified of this change.

## **Approved veterinarian’s responsibilities**

1. An Approved Veterinarian is responsible for ensuring that:
	* They comply with all parts of the *Operational Code.*
	* They complete adequate training on all aspects of certification.
	* They maintain up-to-date knowledge of requirements.
	* They complete the online veterinary assessment with a score of at least 90% (access the online assessment via <http://mpi.govt.nz/exporting/animals/pets/cats-and-dogs-to-australia/information-for-vets/>).
	* They declare and appropriately manage all conflicts of interest, (this should be provided to the PEM for record keeping).
	* The exporter (the animal’s owner, pet exporter or owner’s representative) presenting the animal is made aware of their responsibilities as per Section 2.3 of the *Operational Code.*
	* All certification is completed in accordance with Section 3 of the *Operational Code.*
	* Only animals which comply with the OMAR are provided with a signed export certificate unless a dispensation/equivalence is provided by the Australian Department of Agriculture, Fisheries and Forestry (DAFF) and MPI.
	* They participate in practice audits where necessary.

## **Fees and charges**

|  |  |
| --- | --- |
| **Charge** | **Cost (including GST)** |
| MPI charge per export certificate | $131.61 |
| Service provider charge | $ 59.80 |
| **TOTAL FEE for MPI and AsureQuality** | $191.41 |
|  |  |
| Veterinary Practice Name examination and export certificate charge | Optional |
| **TOTAL FEE to client** | Optional |

# **Part 3: Certification**

## **Conflict of interest**

1. Approved Veterinarians are:
* Requested to declare any conflicts of interest at commencement of approval as a veterinarian able to certify cats and dogs to Australia; and
* are to identify conflicts of interest as and when required to the PEM.
1. If a conflict of interest arises, certification is managed by another Approved Veterinarian in the practice (or another Approved Veterinarian in another Approved Veterinary Practice) who does not have a conflict of interest.

Record any conflicts of interest here:

|  |
| --- |
|  |

## **Ordering export certificates**

1. Export certificates are ordered in advance, by the PEM, from AsureQuality using the *Request Export Certificates* form, located in the forms file.
	* Orders are scanned and emailed (it is advised that an order for export certificates will be placed when the clinic has only five export certificates left for issuing).
2. When the export certificates are received, the PEM checks the number of export certificates as well as the shoulder numbers against the AsureQuality documentation.
	* If all correct, the *Order Verification and Receipt Form* is returned to AsureQuality by the PEM and the inventory spreadsheet for the new ‘batch’ of export certificates is updated accordingly.
	* The PEM ensures the new export certificates are stored securely.

## **Export certificate inventory spreadsheet**

1. An inventory spreadsheet is used to maintain control/traceability of the issuance of export certificates.
	* The PEM will ensure an export certificate inventory spreadsheet is maintained (see *Export Certificate Inventory* template located in Appendix A as an example).
	* The PEM will ensure that all the relevant parts of the inventory are completed including the export certificate balance, the date export certificates are received, and the date the export certificates are signed and issued to the exporter.
	* Each entry will be made on an individual line of the inventory.
2. Any export certificates that are cancelled or destroyed, are still recorded in this spreadsheet to account for all export certificates.
	* Where an export certificate is cancelled or destroyed, AsureQuality will be notified as soon as possible.

## **Taking photocopies of export certificates**

1. Two copies of export certificates are taken as follows:
	* One for the Approved Practice records.
	* One for AsureQuality.

## **Filling out the export certificate and monitoring**

1. Export certificates are completed as per MPI requirements.
2. The PEM checks the copies of completed export certificates before filing and completing the inventory spreadsheet and brings any errors to the attention of the veterinarian who signed the export certificate.
3. The PEM keeps a record of the errors and monitors the issues for trends and provides refresher training where required.

## **Recall/updated export certificates**

1. When there is a notification of an export certificate recall from AsureQuality, the PEM will return the outdated export certificates in exchange for new export certificates.
2. The PEM will update the inventory spreadsheet accordingly (refer to *Ordering Export Certificates*).

# **Part 4: Records**

1. The PEM ensures the following records are kept secure and easily retrievable:
	* Records are kept demonstrating that requirements in the *Operational Code: Cats and Dogs to Australia* are being met.
	* Training and online assessment records of approved veterinarian(s).
	* Written authorisation from the practice owner/director for the PEM to administer the *Operational Code: Cats and Dogs to Australia.*
	* Records associated with managing any conflicts of interests.
	* Export certificate inventory maintained correctly. (See *Export Certificate Inventory* template located in Appendix A as an example). All the relevant parts of the inventory must be completed including the export certificate balance, the date export certificates are received, and the date the export certificates are signed and issued. Each entry should be made on an individual line of the inventory.
	* Copies of all export certificates used.
	* Copies of replaced/damaged export certificates where possible.
	* Supporting documentation relating to certification.
	* Owner Statutory Declarations.
	* Test result.
	* Treatments done.
	* Additional health or treatment information attached to export certificates.
	* Approved Practice audit reports.
	* Non-compliance letters.
	* Approved Practice export management meeting records.
	* Approved Practice non-compliance spreadsheet / issues register and corrective actions followed up.
	* Approved Practice’s internal audit form.
2. The Director-General of MPI may inspect and make copies and will be given access to any record or information in relation to this programme, if requested. Records are retained for a minimum of four years.

## **Location of records**

|  |  |
| --- | --- |
| **Record type** | **Location in clinic** |
| Veterinary Practice Name *Approved Practice Manual* for *Operational Code:* *Cats and Dogs to Australia,* including export certificate inventory and non-compliance spreadsheets/issues register |  |
| Copies of signed export certificates and supporting documents |  |
| Veterinary Practice owner authorisation for PEM to administer programme |  |
| Copies of evidence of successful completion of online assessment for each veterinarian |  |
| Conflict of interest declarations |  |
| Non-compliance letters |  |

# **Part 5: Audit Programme**

## **Responsibilities**

1. For desk-top audits, the PEM is responsible for sending all relevant requested information to AsureQuality and ensuring any non-compliances are actioned and followed up as necessary.
2. The PEM ensures that the records are available for audit e.g. copies of export certificates, etc.
3. If an on-site physical audit is required, the PEM is the contact point for AsureQuality for arranging audits, for being present during the audit, ensuring appropriate people in the practice are available, and following up on audit issues including non-compliances.

# **Part 6: Non-Compliances**

## **Non-compliance management**

1. The PEM ensures that non-compliances (complaints, audit non-compliances, etc.) are responded to effectively, that the appropriate corrective action is implemented, and that they are closed out successfully.
2. The PEM maintains these records and maintains a spreadsheet of non-compliances.

## **Complaints and appeals procedure**

1. Where the Approved Practice believes that information, clarification, or sanction is demonstrably unfair, inaccurate, or impinges on the practice’s ability to conduct operations, the PEM will follow the complaints and appeals procedure found on the MPI website: <http://mpi.govt.nz/document-vault/882>.

# **Part 7: Appendices**

Appendix A – Cats and Dogs Export Certificate Inventory Spreadsheet (Sample)

Appendix B – Cats and Dogs Non-Compliance Spreadsheet / Issues Register (Sample)

Appendix C – Approved Veterinary Practice Export Training Record Template (Sample)

Appendix D – Internal Audit Form (Sample)

## **Appendix A – Cats and Dogs Export Certificate Inventory Spreadsheet (Sample)**

|  |  |  |
| --- | --- | --- |
| **MPI Approval Number** |  **Balance Carried forward** |  |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Date** | **Quantity of certificates ordered** | **Record the certificates received****e.g AA12345** | **Certificate number issued** | **Signed and Issued to (Animal & Client Name)** | **Cancelled or Returned to AsureQuality****or** **Issued to/ received from another Approved Veterinary Practice**  | **Signed or****Cancelled by (Veterinarian)** | **Date copy of export certificate sent to AsureQuality** | **Balance** | **Comment** |
| 2-Dec-19 | 5 | AA51542 – AA51546 | - | - |  | - | - | 5 | - |
| 5-Dec-19 | - | - | AA51542 | ‘Molly’ – Kevin Partridge |  | Dr Smythe | 5-Dec-19 | 4 | - |
| 5-Dec-19 | - | - | AA51543 | ‘Pickle’ – Kevin Partridge |  | Dr Smythe | 5-Dec-19 | 3 | - |
| 12-Jan-20 | - | - | AA51544 | ‘Mason’ – Lauren Smith |  | Dr Wright | 13-Jan-20 | 2 | - |
| 13-Jan-20 | 5 | AA51703 – AA51707 | - | - |  | - | - | 7 | - |
| 16-Jan-20 | - | - | AA51545 | ‘Lily’ – Annette Lionel |  | Dr Smythe | 16-Jan-20 | 6 | - |
| 21-Jan-20 | - |  - | AA51546  | Certificate cancelled(‘Millie’- Ashley Lauren) | Cancelled | Dr Wright |  | 5 | Too many errorsAsureQuality Notified 22-Jan-20 |
| 21-Jan-20 | - |  - | AA51703 | ‘Millie’- Ashley Lauren |  | Dr Wright | 21-Jan-20 | 4 |  - |
| 24-Jan-20 | 1 | AA51908 | - | - |  | - | - | 5 | Certificate replaced by AsureQuality for AA51546 |
| 13- May-22 | 2 | AA55555-AA55556 |  |  | Transferred from ABC Vets |  |  | 7 |  |

All details in this inventory are fictitious.

## **Appendix B – Cats and Dogs Non-Compliance Spreadsheet / Issues Register (Sample)**

|  |  |
| --- | --- |
| **MPI Approval Number** | Practice Approval Number |

|  |
| --- |
| **NON-COMPLIANCE SPREADSHEET/ISSUES REGISTER\*** |
| **N/C No:** | **Date issued** | **Issued by** | **Export certificate number** | **Certifying Veterinarian** | **Minor, Major, Serious** | **Comments** | **Closed out date** | **Signature of the PEM and Certifying Vet** |
|  | 15-Jan-20 | AsureQuality | AA51544 | Dr Wright | Major | Error correction not fully signed and dated. E-training completed, and subsequent export certificate checked. | 22-Jan-20 |  |
|  | 29 March 22 | AsureQuality |  | N/A | Serious | Audit documentation not provided by due date. >30 days overdue. | 06 May 2022 |  |
|  | 07 August 22 | Self-finding |  | N/A | Major | Only 1 internal audit completed. Set up calendar reminder for due dates going forward. |  |  |
|  | 18 December 22 | AsureQuality |  |  | Major | Export certificate inventory recoding errors. The information recorded was not placed in the correct columns of Appendix A. | 19 December 2022 |  |
|  |  |  |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |

 All details in this spreadsheet are fictitious.

## **Appendix C – Approved Practice Export Training Record Template (Sample)**

|  |  |
| --- | --- |
| **MPI Approval Number** | Practice Approval Number |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Date**  | **Activity**  | **Trainee (PEPM, Veterinarian, Staff)**  | **Trainer**  | **Description of Training Exercise / Assessment / Issues** | **Signature of PEM** |
|  | Export Training | Certifying Veterinarian  | PEM | PEM discussed *Operational Code:* *Cats and Dogs to Australia* with Certifying Veterinarians, reviewed requirements for certification  |  |
|  | Record Keeping Management | PEM | PEM  | PEM reviewed the record keeping requirements of the *Operational Code:* *Cats and Dogs to Australia,* |  |
|  | Export Management Meeting | Certifying Veterinarians | PEM  | PEM discussed audit NC’s with Certifying Veterinarians, reviewed export certificate checklist and process for internal monitoring of export certificates |  |
|  | Training on Update/ Clarification by MPI | Certifying Veterinarians | PEM  | PEM updated the certifying veterinarians on the update/clarification issued on 24 December 2021 to the *Operational Code*: *Cats and Dogs to Australia* *NB a separate entry required for each clarification update* |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

All details in this training record are fictitious.

## **Appendix D – Internal Audit Form (Sample)**

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| --- | --- |
| **MPI Approval Number** | Practice Approval Number: |

|  |
| --- |
| Biannual (6 monthly) |

### **Internal Audit Form**

This internal audit form can be used to assist in preparing your veterinary practice to meet the requirements of this programme.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Audit Date** **Comments** | **Audit Date****Comments** |
| **Questions – Registration Requirements** |
| 1 | Who has been assigned Practice Export Manager (PEM)? Is there a letter of authorisation for this person? |  |  |
| 2 | Has the Practice Manual been developed and amended to the up-to-date version?  |  |  |
| 3 | Have all nominated veterinarians completed their training and passed the online assessment? Has this been recorded in Appendix C? |  |  |
| 4 | Are there training records for each of the veterinarians? |  |  |
| 5 | Are all training records up to date? Has training been conducted on *Operational Code:* *Cats and Dogs to Australia,* updates and clarifications? |  |  |
| 6 | Are there any conflicts of interest? Have they been declared and managed? |  |  |
| **Questions – Export Certificates** |
| 7 | Are the correct forms used to order export certificates from AsureQuality? |  |  |
| 8 | Is there an inventory system (Appendix A) for export certificates? Is this kept up-to-date and recorded correctly? |  |  |
| 9 | Are export certificates kept in a secure location? Are they being used sequentially as per best practice?  |  |  |
| 10 | Are Owner Statutory Declaration (OSD) forms monitored for completion and are the correct forms being used?All changes to the OSD have appropriate authorisation. |  |  |
| 11 | Where an animal has been re-microchipped without the owner present appropriate authorisation (OSD form) has been obtained from the owner and has been kept on file accordingly. |  |  |
| 12 | Are photocopies of export certificates and OSD as well as any additional supporting documents kept on file? Have photocopies of the export certificates been sent to AsureQuality? |  |  |
| 13 | Have all replacements/cancellations of export certificates been handled correctly?  |  |  |
| 14 | Are export certificates monitored for non-compliance? Have non-compliances been found and recorded in Appendix B?  |  |  |
| 15 | Have trends in non-compliance been responded to? |  |  |
| 16 | Have there been any recalls of export certificates? Was this handled correctly? |  |  |
|  | **Questions - Records** |  |
| 17 | Are records readily available for:* Training
* Export certificate inventory
* Copies of export certificates
* Originals of replaced/damaged export certificates
* Supporting documentation
* Conflict of interests
* Audits
* Non-compliances

And where are they stored?  |  |  |
|  | **Questions – Audits and Non-Compliances** |  |
| 18 | Is there a system for managing non-compliances? |  |  |
| 19 | Have all non-compliance(s) been managed appropriately? |  |  |
|  |
|  |