# National Control Plan TUVALU NATIONAL COMPETENT AUTHIRITY

For the offering of official guarantees in terms of fish and fishery product exports from Tuvalu to General Markets and the European Union

**Endorsed By:** _____

**Mr. Sam Finikaso**
**Director, Tuvalu Department of Fisheries,**

This document was produced with the support of

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**Amendment Sheet:**

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## 1.0 Introduction

### 1.1 Scope

The national Competent Authority for Tuvalu government is the CA a Unit positioned in Ministry of Fisheries and this unit is responsible for applying controls for regulating the appropriate sanitary handling, processing, storage, distribution, export and import of fish and fish and fishery products.

Personnel working within the CA are known as Competent Authority Officers (CAOs) and sometimes may be referred to as Verification officers, Authorised officers and/or Fish Inspectors.

Competent Authority Officers (CAOs) retain all powers under the relevant Acts and Regulations. Risk based and specific knowledge is required by CAOs in order to identify non-conformances, assess their impact on health and safety, and take compliance action when a company fails to do so.

This document constitutes the procedures and policies that describe the operations used to define the duties, procedures and responsibilities of CA personnel operating within the CA in the course of performing inspection and certification services on fish and fishery products.

The CA undertakes to discharge these responsibilities in accordance with National legislation and procedures outlined in this Systems Manual (National Control Plan).

This National Control Plan (NCP) for fishery products in Tuvalu covers product intended for export from Tuvalu with specific requirements for those products destined for the European Union as defined by 109 - 111 of EU Regulation 2017/625 (and as amended). and the Tuvalu Vessel Standards. The CA has been set up according to the guidelines on official controls laid out on Regulation 2017/625 in determining the scope and content of the National Control Plan. As a multi-annual plan, the NCP will be subject to review according to the following criteria:

- *EU legislation*. Changes to the EU legislation on food safety and in particular on fishery products will be kept under constant monitoring by the CA Team Leader. Any changes will be reviewed to see if they affect the NCP in any way and, if necessary, the NCP shall be amended to take account of these changes.
- *Risk*. The NCP will be amended to meet any changes in risk from fisheries products produced in Tuvalu for export to the EU. The risks to be considered shall include any changes in product(s), any changes in processes, any new scientific information on the risk associated with fishery products, any alerts or information from the EU RASFF and any risk notified by NCA(s) or buyers in the EU. CA will evaluate any other forms of risk as information becomes available.
- *General legislation changes*. Legislation of Tuvalu or other key markets may also necessitate a change to this National Control Plan.
- *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.
- *Changes in CA Structure, Management or Operation of the CA:* may also trigger a review if those changes result in the NCP being incorrect

Such reviews shall be carried out as new information becomes available and any amendments shall be incorporated into the NCP. Any such amendments made during the course of the year shall be approved in writing by the CA Team Leader (CA-TL) who shall ensure that all CAO's are made aware of the changes and provided with written copies of the amendments.

Furthermore, the CA through the Team Leader shall conduct an annual review of the NCP that will formally incorporate any amendments into the full text of the NCP.

The Director of Fisheries shall be responsible for endorsing the NCP including any revision each year. The CA Team Leader (Manager) shall ensure that all Competent Authority Officers receive the updated version whilst recalling the outdated version. The NCP shall be dated clearly on the front cover and no member of CA shall use a copy of the NCP after one year from its issue. All old copies of the NCP shall be disposed of apart from a file copy to be retained in by the CA Team Leader for archive purposes.

The CA Manager/Team Leader may request assistance from regional organizations in regards modifications, updates and review of the NCP.

The CA-TL 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.

## 1.2. EUROPEAN UNION

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 organisation of official control...*"[1]. This statement has to be read in terms of the *official controls* as required in terms of food safety, production standards and others, as specified for seafood in the relevant EU legislation.

Regulation (EC) No 2017/625 requires from member states the elaboration of a multi annual National Control Plan –NCP- (*or equivalent recommended for third countries)*[2].

The evaluation of this NCP would become the basis on which to judge equivalence, and hence maintain market access.

In terms of the NCP, although there is no standard manner by which these are presented, they should be established in accordance with the specific rules set by 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, Regulation (EU) 2016/429 and European Parliament and Council Directive 2004/41/EC.

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[1] Regulation (EC) No 2017/625 of the European Parliament and of the Council of 29 April 2004 on official controls performed to ensure the verification of compliance with feed and food law, animal health and animal welfare rules. *Article 2. Definitions*

[2] Regulation (EC) No 2017/625 of the European Parliament and of the Council on official controls performed to ensure the verification of compliance with feed and food law, animal health and animal welfare rules. *Article 129. Equivalence*

Critically, Regulation (EC) No 178/2002, offers the option 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 recognised 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 affect adversely the competitiveness of those companies not engaged in trade with the EU.

Hence, the CA has engaged in setting up the present administrative avenue, under its existing regulatory framework, for those intending to export to the EU, as long as they prove compliance with the relevant requirements of food law of the EU.

The principle behind this reasoning is that all food producers are required to comply with the national standards as a legal requirement. However, as exporting to the EU is a **voluntary act,** the recognised CA can impose, as an administrative measure, additional production and compliance standards, as well as more frequent verifications, only for interested 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. And otherwise only allowed to export to other markets (non-EU) that otherwise allow.

All methods, procedures and regulatory instruments to be used for conformity assessment, regulatory verification and *official guarantees*, are presented in this NCP, which in turn is presented to the EU as per their requirements.

It is believed that this approach has the advantage of being cost effectively implemented while upholding the level of compliance required for meaningful official assurances.

## 2.0 Formal Framework of the Competent Authority

### 2.1 Scope

The application of the regulatory framework hereby explained will apply to any business exporting fish or fishery products from Tuvalu. In addition, the NCP also includes additional requirements to meet some of the non-EU markets.

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.

Markets currently included as part of the EU and needing to meet EU requirements include:

(a) the European Union, being Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia,

Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Poland, Romania, Slovakia, Slovenia, Spain and Sweden,

(b) Iceland, Liechtenstein and Norway are part of the European Economic Area (EEA) and therefore benefit from the single EU market. Switzerland is not part of the EEA but is part of the EU single market.

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

(d) the Faroe Islands (Denmark), Canary Islands (Spain), Madeira (Portugal)

(e) Croatia and *Bosnia & Herzegovina (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 requirements listed below.

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

## 2.2 LEGAL BACKGROUND

Tuvalu has established a Unit the Competent Authority under the Ministry of Fisheries as the body deemed by government as the Competent Authority for the export of seafood to the EU.

The legislation under which this authority is conferred for seafood production is based on the following legislation:

- Food Safety Act 2008 and subsequent amendment
- Food Safety (Fishery Products) Regulation 2022

The Act, and the associated regulations, contain all powers necessary for the approval of establishments intending to export fish and fishery products from Tuvalu as well as those intending to export fish to the EU and approval of vessels that are involved in EU exports.

These requirements are in addition to any Tuvalu standards and specifications. Eligibility of products for the EU is dependent on compliance with both the domestic standards and specifications and the requirements of this NCP and Industry Standard which is reflective of the market access requirements.

## 2.3 ORGANIZATION

The Competent Authority also known as the CA under the Department of Fisheries is the competent authority acting as the government agency responsible for verification and certification of fish exports originating from Tuvalu.

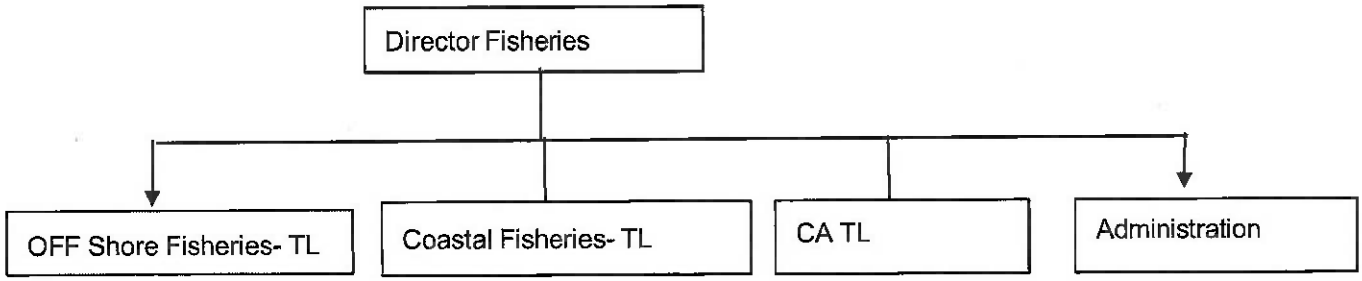


Fig. 1: Organisation of the CA

### 2.3.1 Functions

Under the structure presented above the following functions are determined:

- Management of all conditions relating to the exports of seafood from Tuvalu
- Management of all conditions relating to the inspection and control of imports of seafood
- Particular focus on ensuring the requirements of EU legislation are met for all seafood products being exported to the EU
- Required official guarantees and specific responsibilities stipulated under the *Food Regulation.*
- Be the legal authority for the enforcement of the National Control Plan, Vessel Standards Food Act and all its supportive Regulations and Standards.
- Provide advisory services to government agencies (both domestic and international), industry and any other person and/or organisation if required to ensure the safety of fish and fishery products produced for export within Tuvalu
- Other duties and functions related to the overall objective of the CA

The responsibilities of the ***Tuvalu CA*** are to:

- Carry out regulatory verification of establishments and fishing vessels (local and foreign)
- Manage the process of registration, approval and listing of establishments (including EU vessels, landing sites, cool stores, ice plants and transporters) authorised to export.
- Manage the process of EU registration for those establishments either on internal or external CA lists.
- Manage the listing status of establishments based on compliance.
- Produce and sign the required Health Certificates.

- Liaise with operators of fish processing establishments other government agencies and the authorities of importing countries with regard to the sanitary production of fish and fishery products and market access requirements.
- Provide official assurance to the authorities of importing countries on the sanitary condition and safety of exported fish and fishery products.
- Provide initial and regular follow up training for authorized officers.
- Maintain the central records and database.
- Carry out sampling and testing of fishery products as part of CA Official Controls
- Maintain a list of designated laboratories and oversee their performance in providing testing services to CA standards
- Support Catch Documentation Scheme Officers on Traceability and any other catch documentation related work that will needed from time to time.
- Carry out regulatory verification of seafood imported into Tuvalu.

In addition, the Tuvalu CA also has the following administrative functions:

**Administration**

The CA team also handles all the administrative facets of the CA, with respect to his/her internal structure, and liaises with industry in the handling of the listings. Overall supervision of the Tuvalu CA shall be the responsibility of the Team Leader.

**Database**

The CA will manage all relevant information and data respecting the principles of confidentiality and at the same time being transparent.

### 2.3.2 Powers

The CA has the following powers:

- To order the examination of samples of product if the authorised Officer (CAO) has reason to believe fish or fishery products are in non-compliance with relevant legislation.
- To search premises and records if the authorised officer (CAO) has reason to believe fish or fishery products are in non-compliance with relevant legislation.
- To refrain from signing Health Certificates and / or withdraw the 'Approval' status of an establishment or vessel if the authorised officer (CAO) has reasonably concluded that fish or fishery products are in non-compliance with relevant legislation and that product may be injurious to health.
- To cease operation at an establishment or vessel if consumer safety is in jeopardy.
- To sample and test product and/or the environment to provide evidence of compliance to legislation including the Vessel Standards and act if the results indicate unacceptable product.
- Seize, and, if necessary, dispose of fish.
- Withdraw establishments from the CA internal and external lists.

### 2.3.3 Competencies and Responsibilities

#### 2.3.3.1 Competencies of CA Team Leader- Manager

The CA-TL position is to lead and act as official representative and custodian of Tuvalu Law, EU market Access requirements for food safety and also act as the representative of the Director of Fisheries.

The Competent Authority TL (Manager) has the following responsibilities:

- Has overall responsibility for the official guarantees, with respect to fishery product exported from Tuvalu to the EU and other general markets.
- Be the official contact for the competent authority.
- Responsible for the management of the process and procedures necessary to underpin the official guarantees and the defence of the CA's impartiality.
- Responsible for providing leadership, supervision and managing the deployment of personnel to ensure effective and efficient official control functions are implemented at all times.
- Responsible for the overall supervision of the CA operations including staff development:
- Responsible for developing budgetary planning and managing financial matters for the CA.
- To ensure activities performed by the CA are carried out in accordance with the relevant Act and Regulations, associated amendments and other supporting Official Control Systems Manuals.
- Identify and initiate resources requirement and provision for effective implementation of the CA systems including the relevant regulation.
- Review, investigate and recommend decisions on appeals, complaints, disputes and or conflicts.
- Oversee and provide avenues for staff development plan including succession plans.
- Provide technical advice to the Director for Fisheries and to other government heads if and when needed and other government and non-government agencies.
- Sign off HC.
- Responsible for the regular internal audit of the CA operation.
- To coordinate the internal annual review of the regulations and CA procedures as outlined herein and revise as necessary;
- Management of the TRACES system and all the Certification and data system;

#### 2.3.3.2 General Competencies of Competent Authority Officers (CAOs)

Regulation EC 2017/625 Annex II Chapter I lays down the minimum training requirements for persons working in official controls.

All persons working in the CA will demonstrate training and competence in the following areas:

1. Different control techniques, such as auditing, sampling and inspection.
2. Control procedures
3. Legislation including in-country and EU legislation as relevant to official controls and seafood exports.
4. 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 for the environment.
5. Assessment of non-compliance with relevant legislation.
6. Hazards in seafood raw materials, processing and finished products.

7. The evaluation of the application of HACCP procedures.
8. Management systems such as quality assurance programmes that seafood businesses operate and their assessment in so far as these are relevant to legislation.
9. Official certification systems.
10. Contingency arrangements for emergencies, including communication with EU.
11. Legal proceedings and the implications of official controls.
12. Examination of written, documentary material and other records, including those related to proficiency testing, accreditation and risk assessment, which may be relevant to the assessment of compliance with legislation; this may include commercial or financial aspects.
13. Control procedures and requirements for entry into the Union of animals and goods arriving from third countries
14. Any other area necessary to ensure official controls are carried out in accordance with in-country and EU legislation.

Under the structure presented above the following responsibilities are determined:

- Management of all conditions relating to the inspection and control of exports of seafood to the EU
- Required official guarantees are specific responsibilities of the *Competent Authority and the CAO's which* would be based on the condition determined in this document
- Be the legal authority for the enforcement of the National Control Plan, National Food Safety Act and The Food regulation.
- The Tuvalu CA is responsible for implementing the sanitary control system for fish and fishery products and for export certification activities as defined by the Food Safety Act and the Food Safety (Fisheries Products) Regulation
- 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.
- Be the point of contact with the authorities of importing countries, to facilitate effective communications 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.
- Be responsible for the planning and implementation of measures (drafting, submission & follow up) to harmonise Tuvalu standards with those of the export markets.
- Be responsible for verification of CA activities and record keeping to ensure effective control across the country
- Be responsible for implementation of information services to disseminate information to exporters on standards, technical regulations and certification requirements in target markets.
- Have advisory role in the local markets and retailers with respect to fish quality and safety standards and hygiene requirements.
- Be responsible for other duties and functions related to its overall objectives.

The responsibilities of the Competent Authority (Tuvalu CA) are to:

- Carry out regulatory verification of establishments, transport, ice plants, landing sites and fishing vessels (local and foreign)
- Manage the process of registration, approval and listing of establishments (including vessels, landing sites and cold stores) authorised to export to the EU

- Manage the listing status of establishments (including vessels, landing sites and cold stores based on compliance
- Produce and sign the required Health Certificates and maintain the central records and database.
- Manage the relationship between the CA and the designated laboratory ensuring the laboratory preform its task as required in satisfactory manner
- Provide initial and regular follow up training for inspectors and authorised officers
- Carry out regularly monitoring on import of fish and fishery products and in particular unprocessed or semi processed that will have to be further processed in Tuvalu or re-exported
- Ability to assess non-compliance
- Contingencies for emergencies.

### 2.3.4 Training

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.

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.

On an annual basis individual training needs will be identified by the CA-Team Leader for planning and budgeted accordingly.

Training records for individual CA officers will be held on file by the CA Team Leader and made available to approved or authorised persons when requested.

### 2.3.5 Job Descriptions

Each position within the CA team will have a documented job description which will be held on file in the CA office.

### 2.3.6 Code of Conduct

#### 2.3.6.1 Introduction

The official conduct of all public servants is regulated by the provisions of the Tuvalu Public Service Commission Code of Ethics. (General Administrative Orders 2016. However, Competent Authority Officers (CAOs) who regulate commercial enterprises and vessels are in a unique position and often face pressures and situations not ordinarily experienced by the majority of public servants.

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

CAOs work at isolated establishments living side-by-side with industry personnel. In these small communities, 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, staff will be better able to recognise and deal with those situations where care is needed to protect their integrity.

The integrity programme for CAOs, of which this document forms a part, has been designed to make staff aware of their obligations, generally as public servants and more particularly as employees of a regulatory service. Problems of misconduct in the past may have been avoided if those involved had known what was required of them and had foreseen the consequences of their actions. CAOs who know what is required will not become unwitting or unwilling participants in such activities.

Misconduct by CAOs reflects badly on the CA and the Ministry of Fisheries and compromises its integrity as a regulatory body. Misconduct will result in disciplinary action against individual Officers.

#### 2.3.6.2 Code of Conduct

The primary duty of CAOs 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. The following is a summary of the Code of Conduct designed specifically for CAOs in addition to the General Administrative Order 2016, Public Service Commission document.

#### 2.3.6.3 Conflicts of Interest

*Conflict of interest* is defined as "the loss of impartiality in an organisations 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:

a. Provision of support to individual inspectors by the CA-TL in situations where an inspector's decision can affect the economic status of Department of Fisheries or the wider community.
b. Clear definition of the scope and duties of the inspector position in job descriptions.
c. In cases where conflict of interest may occur, that the individual inspector brings this to the attention of Director for Fisheries for resolution.
d. Inspectors are prohibited from using or supplying to any other party confidential or privileged information which they gain in the course of duty.
e. Inspectors are further prevented from using coercive powers for the benefit of themselves or the department for which they work.
f. Inspectors are required to apply statutory standards and powers impartially. To this end, inspectors must ensure in making decisions on compliance and other issues that regulatory standards are applied consistently, fairly and to the best of their knowledge.

#### 2.3.6.4 Claims

It is important that all claims are justified and comply with administrative requirements.

#### 2.3.6.5 Gifts

Under **NO** circumstances are CAOs to solicit or accept gifts. If a gift finds its way into your possession, you must advise the CA-TL who will than advise the Director for Fisheries. This policy does not prohibit:

a) The exchange of social courtesies (e.g. the acceptance of morning tea);
b) Acceptance of food and refreshment of nominal value on infrequent occasions, where the interest of the Ministry of Fisheries is served by participation of staff in industry-sponsored activities.

#### 2.3.6.6 Use of Official Information

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

#### 2.3.6.7 Independence

Members of the Competent Authority 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 that members of the CA abstain from involvement in the day-to-day operation of any seafood processing establishment or vessel.

#### 2.3.6.8 Confidentiality

Members of the Competent Authority 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.

Members of the Competent Authority 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.

Written information will be held on file in a locked room – the only people with access to this room will be members of the Competent Authority or other persons authorised by members of the CA.

#### 2.3.6.9 Breaching the Code of Conduct

If a CAO becomes aware or suspects that another CAO is involved in illegal or improper acts, the Officer is obliged to report the matter to the CA-TL who will then report it to the Director of Fisheries.

The industry or any private person who suspects that a CAO is involved in illegal or improper acts may report the matter to the Director of Fisheries.

Formal disciplinary action can be taken for misconduct as provided for under government disciplinary system.

### 2.3.7 Suspected Malpractice by Industry – How to Handle Cases

If a competent authority officer becomes aware of, or suspects that there is some irregularity in the operation of a vessel, the matter should be reported immediately to the CA Team Leader; first orally and then in writing within 24 hours. If a CAO becomes aware of some circumstances occurring outside of, but associated with a vessel, such matters also should be reported to an appropriate Officer.

In noting the above procedures, each CAO should be aware that failure to report such irregularities may constitute misconduct. This means that a CAO should carry out diligently the assigned duties and give due care and attention to all aspects of the job.

### 2.3.8 Care in Providing Information or Advice

#### 2.3.8.1 Integrity, Accuracy of Information

The National Food Safety Act provides protection to CAOs as Authorised Officers of the Ministry of Fisheries.

Notwithstanding the above provision, the Ministry of Fisheries may be liable for damages for economic loss sustained by persons who act on information or advice negligently given by CAOs of the Ministry. Staff are therefore required to exercise great care when giving advice to members of the public, particularly when the advice relates to information available only to the Ministry. Given the variety of circumstances in which advice might be sought, it is not possible to devise detailed rules for universal application.

### 2.3.9 Points to Consider

The following points should however be considered:

a) the employer's duty is to exercise reasonable skill and diligence to ensure that information and advice provided by staff which the recipients are likely to use for serious purposes is accurate;
b) staff need to be sensitive to the use an enquirer may make of information or advice sought;
c) staff should exercise due care in informing and advising enquirers- the standard of care required being related to the nature of the inquiry and the possible consequences that may arise from the provision of incorrect advice or information;
d) when there are doubts about the reliability of the information or the authority of the CAO to provide advice, these should be made known to the enquirer;
e) in some circumstances, it may be possible to indicate that while all care is taken in providing the information or advice, no responsibility is accepted for any loss incurred as a result. However, disclaimers of this kind are clearly not appropriate where Ministry of Fisheries is the only authoritative source of information or advice on a matter and it is reasonable for the Ministry to provide it;
f) where information or advice is being given on a matter that has not been finalised, the interim or conditional nature of the information or advice should be made clear.

### 2.3.10 Responsibilities of CA Team Leader (Manager)

The role of CA Team Leader (Manager) is to ensure that the conduct of staff under their control is responsible at all times. As the overall supervisor, his/her duty is to certify as to the correctness of records and ensure that they are kept up to date.

### 2.3.11 Conduct of CA Officers

#### 2.3.11.1 Introduction

A competent CA officer must combine the qualities, at various times, of a food technologist, lawyer, diplomat, psychologist, and police officer. This section provides guidelines for CAOs to carry out their tasks efficiently and effectively.

#### 2.3.11.2 Personal Appearance

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

#### 2.3.11.3 Manners

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

#### 2.3.11.4 Imparting Information

People are more likely to obey a law or carry out an instruction 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 a CAO is unsure of a particular fact, find the requested information and pass it on as soon as practicable.

#### 2.3.11.5 Unfortunate Incidents

If a CAO is abused, threatened or placed in a potentially difficult situation, the individual should stay calm and not get excited. If tempers flare, the CAO 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 supervisor and follow it up with a detailed written report.

#### 2.3.11.6 Personal Hygiene

The Vessel Standards prohibit persons smoking, eating and drinking or persons suffering from an infectious disease from handling fish, fish products and packaging materials. This also applies to CAOs. It is also a required practice for CAOs to wash their hands on entering a processing area, as they will invariably handle product at some stage of their inspection. This sets an example to processing personnel and also allows CAOs to check the hand basin.

## 3.0 DOCUMENTATION AND RECORDS

### 3.1 CA QUALITY POLICY

The Tuvalu CA of the Ministry of Fisheries is an inspection and certification arm that aims to facilitate market access of Tuvalu fish and fishery products destined for export.

The CA aims to provide inspection and certification services to the fishing industry that meet national and international requirements in a timely and cost-effective manner.

The CA is totally committed to these stated aims and objectives through the implementation of the Management System procedures described in this manual.

The CA is committed to ensuring that the Quality Policy Statement is understood, implemented and maintained by all individuals acting as Inspection and Certification Officers.

The implementation of this Policy will protect and sustain fish and fishery product exports from Tuvalu through the development and implementation of the National Control Plan.

Signed: _____

Director for Fisheries

Date: _____

### 3.2 DOCUMENT CONTROL

#### 3.2.1 Document Control

All documents pertaining to this National Control Plan will contain a footer as given below:

| Tuvalu National Control Plan | Version No XX<br>Month and year of issue | Page X of Y |
|---|---|---|

#### 3.2.2 Amendments

Amendments to this National Control Plan can only be completed by the CA Team Leader of the CA or an approved contractor. Amendments are to be made, the version number and date of issue amended on the header and updated in the Amendment Sheet at the commencement of this NCP.

### 3.2.3 Retention

All documents and records generated as part of the CA system must be retained on file in the CA office in Tuvalu for a minimum of 3 years.

### 3.2.4 Review

Documents pertaining to the activities of the CA will be reviewed at least annually by the CA Team or more often if the need arises. Indications that these documents may need reviewing include, but are not limited to:

- a requirement by overseas importing countries
- following a significant food safety event
- on request from the CA Team Leader or Director
- in light of documented agreements and discussions among CA Team members.

When there is a need to revise any part of these documents, the proposed change will be made and approved by the CA Team Leader.

### 3.2.5 Records

All inspection and control documents shall be stored on a central, network database housed within the CA. Within the absence of an electronic database, a copy of all official documents should be stored in the central CA office. The CA Team shall have the overall control of the database, assisted by a designated inspector responsible for the entry, processing and security of the data produced by the regulatory verification services and laboratories, as well as their availability to the certification officials and national coordination.

Records used by the CA are shown in Appendices 18.3 and 18.4.

## 3.3 MANAGEMENT SYSTEM REVIEW

### 3.3.1 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-TL will conduct an independent review of the activities and documentation of the CA.

This review 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 ongoing 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 E as shown in section 18.3 will be completed as evidence of the audit.

### 3.3.3 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 Tuvalu
- 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.

## 4.0 Facilities and Equipment

### 4.1 General Controls of Facilities and Equipment

CAOs will have the following facilities and equipment available to carry out their duties:

- Calibrated and certificated electronic thermometers
- Chlorine testing kits for measuring chlorine levels in water
- Digital cameras or cell phones for taking photos
- Various test kits to confirm histamine and sanitiser levels
- A lockable office with adequate storage to enable filing and storage of confidential information and to which only authorised CA officers have access
- Protective clothing which meets the requirements of the Vessel Standards
- Sampling and testing equipment such as drills, saws as required

Facilities and equipment used by the CAOs 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-TL and will not be made available to personnel other than CA Team members when used for the specified inspection and certification tasks.

CA Equipment should be identified as CA property and maintained on the CA Equipment Register (F23 in section 18.3).

### 4.1.1 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.

- Thermometers will be calibrated at least annually against a thermometer that has been standardised to international standards. Calibration will be carried out more often if a fault is detected.
- Each thermometer will be calibrated using a mixture of ice and water (0°C) and boiling water (100°C) on a monthly basis and or depending on the frequency of use.
- All thermometer will be clearly identifiable using a unique code or some other means of unique identification.

Records of calibration checks will be held on-site by the CA-TL in the CA office as appropriate. CA form F23 given in section 18.3 will be completed as evidence that calibration has occurred.

### 4.1.2 References

Reference documents to be used to control the activities of CA and to ensure on-going compliance with national and international standards and requirements will be retained on file in either electronic or hard copy. It is the responsibility of the CA-TL to ensure:

- the most up-to-date versions of such reference material is available to personnel who need them.
- 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 17.0.

### 4.1.3 Storage of Measuring Equipment

Equipment to be used for critical measurements shall be stored when not in use in the CA office in a manner that protects them.

## 5.0 Listing Protocol

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

### 5.1 GENERAL PRINCIPLES

Land-based premises directly exporting seafood products from Tuvalu must be registered and appear on the approved establishment list within the CA as detailed below.

Premises handling, processing or storing seafood intended for export to the EU must appear on the relevant premises' lists specified in this subpart and which are maintained by the EU, Member

State or Tuvalu CA, as appropriate, before those seafood products are produced at, or enter, the premises.

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

Vessels fishing in Tuvalu waters and intending to export direct from the vessel without onshore processing in Tuvalu wishing to gain health certificates must meet the listing protocol requirements as detailed for EU vessels elsewhere in this National Control Plan.

## 5.2 TYPES OF LISTS

The CA managed three types of lists:

### 5.2.1 General Export Internal List.

This list covers all vessels who export, or intend to export, seafood products from Tuvalu to any market OTHER than the EU.

This list is approved and maintained by the CA and made available to authorised persons on request.

No vessel can export product directly from Tuvalu without being on the CA list as approved for export.

Non-EU vessels approved to export fish and fishery products from Tuvalu will be recorded on CA form F16 as shown in section 18.3.

### 5.2.2 CA EU Internal

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

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

Commercial Operators under this internal listing can provide raw materials and services to those establishments exporting directly.

Establishments approved on the Internal EU list will be recorded on form F18 in Annex 18.3.

Presently in Tuvalu, the following type of establishments are listed under this category:

**Vessels**

Vessels providing to operators that are part the EU destined value chain are divided in three groups[3]:

*Coastal: Vessels that maintain raw materials in storage for less than 24 hours and preserve catch on Ice.*

*Offshore: Vessels that maintain raw materials on storage for more than 24 hours and preserve catch on Ice, RSW.*[4]

Commercial operators approved and listed on the EU internal list will be recorded on CA form F18 as shown in section 18.3.

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

[4] Refrigerated Sea Water

### 5.2.3 EU External

*The commercial operators under this type of listing are **allowed to export directly to the EU**. Such operators will be shown on CA form F17 shown in section 18.3.*

Vessels approved on the External EU list will be recorded on form F17 in section 18.3.

The listing is maintained by the CA and presented to the EU regularly or after any additions or deletions of establishments.

Commercial Operators under this listing are automatically part of the internal listing as well.

Presently in Tuvalu the following type of establishments are to be listed under this category:

| **Vessels for internal listing will be required to have a HACCP plan approved by the CA.** |
|---|

**Vessels**

*Freezer/Offshore: Vessels that maintain raw materials on storage for more than 24 hours and preserve catch on Brine, or Freezing. (including Reefers: Vessels providing the service of storing frozen materials for vessels, and/or processing establishments, that are part the EU destined value chain.)*

***Transport vessel:** and commonly as carrier or reefer vessels that carries fish via transhipment to another destination or port.*

## 5.3 LISTING MECHANISM

### 5.3.1 Initial listing

Vessels wishing to export to any market from Tuvalu, EU vessels, vessels wishing to gain approval and listing or any facility wishing to gain approval as an internal supplier to an export EU facility must first apply in writing to the CA using application form F25A given in Annex 18.4. In addition to the application form vessels will be required to also completed the forms given in the table below.

All information requested in the form given in Annex 18.4 (including supporting documentation) must be complete and accurate and include details of which markets the operator wishes to export to. Further details on the information to be supplied with each application is given in the Tuvalu Vessel Standards.

Where the CA is satisfied that the facility or vessel can meet the requirements for export to the any general markets or the more specific EU market as detailed in the Vessel Standards (VSs) following a documentation and onsite check (and satisfactory completion of the forms given in the table below), the CAO/ VO can grant approval to that establishment and/or vessel as appropriate.

| ***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)<br>F01<br>F02<br>F03 | F25B Application form (company to complete)<br>F01 (only if changes)<br>F02 (only if changes) |
| Non-EU Vessel | F25A Application form (company to complete)<br>F26 Vessel data sheet<br>F01<br>F02<br>F07<br>F07B | F25B Application form (company to complete)<br>F26 Vessel data sheet<br>F01 (only if changes)<br>F02 (only if changes) |
| Landing site | F25A Application form (company to complete)<br>F09 | F25B Application form (company to complete)<br>F09 (only if changes) |
| Ice Plant (standalone) | F25A Application form (company to complete)<br>F05 | F25B Application form (company to complete)<br>F05 (only if changes) |
| Transporters | F25A Application form (company to complete)<br>F27 | F25B Application form (company to complete)<br>F27 (only if changes) |
| Cold stores (standalone) | F25A Application form (company to complete)<br>F06 | F25B Application form (company to complete)<br>F06 (only if changes) |
| Coastal Vessel | F25A Application form (company to complete)<br>F26 Vessel data sheet<br>F08 | F25B Application form (company to complete)<br>F26 Vessel data sheet |
| Offshore Vessel | F25A Application form (company to complete)<br>F26 Vessel data sheet<br>F01<br>F02<br>F07<br>F07B | F25B Application form (company to complete)<br>F26 Vessel data sheet<br>F01 (only if changes)<br>F02 (only if changes) |

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

Operators wishing to export to the EU must demonstrate they can meet EU requirements as detailed in the Regulations, Vessel Standards and NCP.

Vessels intending to export to the EU can save product as being eligible for the EU from the date of authorization by the CA. No exports can be made to the EU until official written notification of gazetting by the EU has been received.

*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. The processing of the applications by the EU can take between 1-3 months.*

No EU certification can be provided until the written notification of gazetting by the EU has been received.

**Note:** It may take some time for notifications of new premises to reach ports of entry in individual Member States. The CA accepts no responsibility for product held up as a result of this.

No vessels engaged in dual use of fish well (carry fuel in fish well) shall be listed or approved to supply fish and or fishery product to any of the EU market from Tuvalu.

### 5.3.2 Renewal of Listing

Each licensed vessel will need to re-apply for their licence on an annual basis. The renewal process will require operators to submit the same information as given in 5.3.1 above for an initial listing and the CA will follow the same process. That includes renewal of HACCP plan approval.

### 5.3.3 Changes to listings

When company information held on file by the CA changes, for example, a change in EU vessel layout, processing techniques, markets, ownership or company name, the company is to complete the application form (F25B) for Amendments to Approval Details as given in Annex 18.4. Additional and relevant information shall be attached to this form and submitted to the Team Leader of the CA.

#### 5.3.3.1 General

Operators shall notify the CA, in writing, of any changes in products, markets, processes, vessel layout or anything else that may affect the listing of a vessel for export. The CA reserves the right to request further information to support the change before deciding as to whether or not the change is approved.

If a vessel listed on the external EU list does not operate for longer than 6 months (and is, therefore not part of the CA inspection regime) the operator of the vessel must notify the CA of the need to de-list that operation from the EU approved list following the procedure given in this NCP.

#### 5.3.3.2 EU

Any changes to the details about the listing for vessels (e.g. vessel name, official number, address) shall be notified to the EU by the CA. This applies particularly to changes in the premises name or official number.

Requests for changes to the listing for vessels, identifying the details of the change, shall be notified by the company operator to the CA in the first instance.

Notification of the changes will be forwarded to Brussels as soon as verification provides official assurances.

The EU doesn't permit more than one registration number for the same premises. This affects premises where there is a change in name of the operator for an existing registration number.

The EC should make changes within 4 – 6 weeks; however, extensive delays beyond 6 weeks are experienced. These are beyond the control of the CA.

Premises will be notified in writing when the changes have been gazetted by the EC. Until the premises have received this written notification the old details shall continue to be used.

### 5.3.4 Voluntary delisting of fish premises for the EU

The CA shall be advised in writing by the company operator about any vessel that wishes to have its listing to the EU removed. This covers situations such as the company is no longer interested in EU market, vessel sale, etc.

The CA shall notify Brussels about the delisting and will advise the operator of the vessel in writing that they have been removed from the list by the EC.

Vessels which request voluntary delisting, shall not export to the EU any product processed on, or after, the date of request for delisting.

Vessels 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 EU.

Any product arriving in the EU, after the vessel name has been removed from the list by the EC, is very likely to be refused entry to the EU and will not be certified by the CA.

### 5.3.5 Delisting of fish premises for the EU by the CA

#### 5.3.5.1 Suspension and reinstatement of certification by the CA

If the level of compliance on a vessel 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.

Notification of suspension, and reinstatement of certification, shall be given in writing.

In the situation that non-compliances are not rectified within an agreed timeframe (within 90 days), the CA could suspend or withdraw the premise from the official listing.

#### 5.3.5.2 Formal delisting

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

- Suspension of certification remains in effect for greater than 90 days.
- The vessel is not operational for a period longer than 6 months.
- Requested so by the operator of a company because they are no longer exporting to the EU

Vessel operators shall be advised in writing of the delisting.

*Note that once a vessel 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.*

## 5.4 COMMUNICATION OF CHANGES

### 5.4.1 Domestically/Internally

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

### 5.4.2 Procedure to update the EU List

All additions, amendments and deletions from the exporters listing will be forwarded to the EU for approval.

The changes accompanied with a letter of explanation will be sent to DG-SANTE in the EU, by the simplest and fastest method.

The approval process takes approximately 3 months, but time frames will vary depending on circumstances beyond the control of the CA.

## 5.5 EXPORTS TO OTHER COUNTRIES FROM EU LISTED VESSELS

### 5.5.1 Separation and Identification of Non-EU Product

To be eligible for export to the EU, seafood products must have been produced or handled on an EU approved vessel (either from the internal CA list or the official EU approved list).

Operators must have procedures and methods to distinguish ineligible seafood products from EU-eligible seafood products.

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

Packaged products must be separated per pallet.

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

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

# 6.0 General Official Controls for Export

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.

The Tuvalu 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). This may include but is not limited to:

- Vessel approvals
- Inspections and audits
- Sampling and testing
- Certification

## 6.1 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 Tuvalu 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.

## 6.2 Dual Use of Fish Wells for EU Vessels

Dual use of fish wells shall not be allowed by any Tuvalu flag vessels nor any EU listed foreign flag vessel supplying fish for further export.

## 6.3 Sampling and Analysis

### 6.3.1 General

More detailed procedures for CA sampling and testing is contained in the Tuvalu Competent Authority Sampling Procedures document. This covers procedures for sampling for general purposes i.e. non-market specific as given later in section 6.3.1 or for market specific testing as detailed in sections 6.3.2 (EU) and 6.3.3 (China).

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

- 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<br>c = 2<br>m = 100 mg/kg<br>M = 200 mg/kg<br>The average of the 9 subunits must not exceed 100 mg/kg | HPLC | Bi-annually per species per existing company/vessel |

- Note- All new establishment histamine sampling frequency will be reviewed at the end of their 2nd year purely based on compliance.

- ***Ciguatera***: No ciguatoxic species from any ciguatoxic affected area shall be allowed for export. (Note that approval for export to EU from Tuvalu will strictly be for tuna and other pelagic species).
- **Pathogens**

| Type of pathogen | Standard |
|---|---|
| *Salmonella* spp. | Absent in 25 g<br>n = 5<br>c = 0 |
| *Listeria monocytogenes* | Absent in 25 g<br>n = 5<br>c = 0 |

### 6.3.2 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
- Freshness indicators
- Histamine
- Residues and contaminants
- Microbiological checks
- Parasites
- Poisonous fish

Section 18.1 of this NCP provides a summary of the testing required for the EU and further details are given below.

**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 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:

- Stamp the form using the CA official stamp
- Sign and date the form
- Request for a copy and then file in the office

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

- The CA should at least assess a minimum of 5 fish of the same species and also measure the backbone temperature (BBT)/core body temperature (CBT) and record it on the prescribed form used.
- 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.

**Freshness indicators**

Samples for TVB-N & TMNA (freshness indicators) shall only be taken when suspected cases of decomposition is identified through routine organoleptic checks and warrant immediate samples to be undertaken to determine if decomposition has taken place.

**Histamine**

Commission Regulations 2073/2005, 1441/2007, 2019/229 and 2019/2013 all specify the need to test for histamine as part of official controls and detail the controls under which this testing is to be carried out.

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 18.1. 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.

**Residues and contaminants**

Commission Regulation 2023/915 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)
- Perfluoroalkyl substances (PFAs)

**Heavy metal (Lead, Cadmium and Mercury)**

Frequency of sampling and testing details for heavy metals are given in Annex 18.1.

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.

**Inorganic Tin**

Frequency of sampling and testing details for inorganic tin are given in Annex 18.1. Note inorganic tin testing is only required for canned fish products.

**Dioxins and PCBs**

Frequency of sampling and testing details for dioxins and PCBs are given in Annex 18.1.

Samples will be sent to Asure Quality in New Zealand or any other accredited laboratory designated the responsibility by the CA for analysis.

**Poly Aromatic Hydrocarbons (PAHs)**

Frequency of sampling and testing details for PAHs are given in Annex 18.1. Note PAH testing will only be carried out on smoked fish products.

**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 Tuvalu is histamine which was covered in a previous section.

**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 they conducted.

**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.

**Other Checks**

**Water and Ice**

Directive (EC) 2020/2184 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 18.1 and sent to an accredited laboratory for analysis.

The testing requirements, tolerance levels and methods of analysis are given in Annex 18.1.

**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 every vessel inspection and/or unload or trans-shipment whichever is more frequent.

#### 6.3.3 China Requirements

The sampling and testing requirements for China are given in section 18.2.

### 6.4 AUDITS OF LICENSED VESSELS

Regulatory verification will be performed for all vessels required to be registered by the CA.

For operators wishing to export to the EU, external verification will be required for vessels exporting fish either directly or indirectly to the EU.

The system of regulatory verification is a vital part of the obligations of control by part of the CA.

The regulatory verification visits can be directed/specific to a particular aspect, or general.

Depending on the type of process involved specific checklists can be used to focus the attention into the most relevant regulatory exigencies.

The level of compliance with the EU regulatory market access requirements, will be to establish a base in the use of "checklists".

These checklists have been designed based on the requirements of:

- Applicable parts of EU Regulations 852/2004, 853/2004 and 2017/625
- Tuvalu Food Safety (Fishery Products) Regulation
- The Manual for the Execution of Sanitary Inspection of Fish ACP – SFP

Checklists for regulatory verification are given in Annex 18.3 of this document.

#### 6.4.1. Types of Audits

Under Tuvalu context, the verification officers will perform the following different types of verification audits.

##### 6.4.1.1 Documentary Check

A first documental verification is undertaken after a vessel submits an initial request for official approval with the purpose of exporting fishery products.

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

1. General description of the company, facilities, products and process.
2. The description of operations followed.
3. The documented prerequisite programmes.
4. The HACCP plan (whenever necessary).
5. The system to provide guaranties for the product traceability.
6. The documented and formalized withdrawal recall procedures.

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

##### 6.4.1.2 Full verification for approval and ongoing verification:

Full verification takes place when vessels come alongside the wharf. It includes an in-depth full verification of physical settings, operational conditions and control strategies, concerning the entire process carried out onboard the vessel.

The team should evaluate the application of all pre-requisite programmes, including:

- Design and maintenance of facilities and equipment

- The general hygiene conditions of facilities and surroundings.
- Water supply and water quality management system, detailing the internal distribution net, treatment if any, quality monitoring plan and related data filing.
- Ice production, internal distribution and quality monitoring, if appropriate
- The absence of cross contamination/air currents risks (lay-out considerations).
- Personnel health and hygiene control (including training).
- Sanitary filtering of personnel arrangements, toilets and dressing facilities.
- Facilities and equipment cleaning and sanitation plans (methods, schedules, chemicals used and approvals).
- Raw materials acceptance criteria and controls (freshness, temperature, transport, lots identification).
- Specifications for other entrants as ingredients, additives or packaging
- Waste disposal system.
- Labelling system and lots codes, providing effective traceability.
- Pest control plan. Insects, rodents and other undesirable presences control.
- Equipment and facilities preventive maintenance plan.
- Temperature controls (storage and in-process where relevant)

Verifiers should also check that documented HACCP plans are implemented as required.

The verifiers will observe and record deficiencies and non-conformities or deviations as they are found.

Clearly identified deviations or non-conformities with the regulatory requirements or the declared procedures involving serious potential problems will be immediately brought to the attention of the vessel management. Corrective action should be implemented.

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.

In the case of vessels, full verification will take place when a vessel is in port and, therefore, those aspects of a verification only evident during handling product on board e.g. personal hygiene, product handling will not be part of the full verification check.

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

- F07, F07B, F08 as appropriate

#### 6.4.1.3 Full verification for renewal of the approval:

Each vessel granted approval by the CA will be subjected to an annual review. Following an annual plan, the CA performs a general reassessment of the system. This should have the same content as a full verification for approval.

- Checklists F00, F01, F02 and then F07, F07B, F08 as appropriate

#### 6.4.1.3 Partial verification

One or more of the elements may be the object of a partial verification/assessment/audit.

For example: such visits are often used to follow up on items noted during a previous in depth verification. They can be used to verify the correction of a previously noted defect within an established deadline date.

A section of a general checklist can be used for this purpose, or a specific worksheet may be created which is added to the original verification form on which the defects were noted.

The verifier 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 may be used to record findings:

- Checklists F00, F07, F07B, F08 as appropriate

#### 6.4.1.4 Random Spot checks:

Depending on the logistical capacity and utilization of precautionary principles, additional non-programmed verifications could be performed.

A particular change in the risk environment may indicate the need for additional checks:

- at certain periods
- in certain areas
- types of process
- raw materials
- other reasons
- Any, all or part of the following checklists may be used to record findings:

- Checklists F00, F07, F07B, F08 as appropriate

#### 6.4.1.5 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 and parasite check and checklist F11 will be used to record the outcome from a traceability check.

Vessels will need to have checks performed to ensure they don't store fuel in holds or other places where fish can be held or stored. This is recorded on checklist F07B.

## 6.5 SUMMARY OF CHECKLIST USE

| ***Checklist Ref. No.*** | ***Overview of Form*** | ***When Used*** |
|---|---|---|
| F00 | Cover page for all CA inspection checklists except F13 | 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) |
| 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 and ice boats (EU) | Only for on-going verification inspections on EU approved coastal vessels according to the verification frequency in the NCP (includes ice boats) |
| 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 and Parasite Evaluation (EU) | Only for the organoleptic evaluation and parasite check 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 Officer 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 Tuvalu |
| 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 |
| 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 |
| F24 | Official Laboratory Assessment Criteria | To be used to audit CA designated laboratories |
| 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) |
| 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 |

## 6.6 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.

### 6.6.1 Evaluation of Compliance by topic

For each item inspected the compliance results are defined as:

| | |
|---|---|
| **Critical Deficiency (Cr):** | any condition or malpractice observed in the establishment which can lead 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; and thus, lead to the production of a contaminated or spoiled fish product, but with no safety implications. |
| **Major deficiency (Ma):** | any condition or malpractice observed in the establishment, which precludes general hygiene and leads to the spoilage of the product. |
| **Minor deficiency (mi):** | any observed condition or malpractice, which does not conform to the sanitary requirements, but is neither major nor serious or 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.

**Outcomes for Establishment**

Based on the same logic that the evaluation by topic, vessels would be classified in accordance to outcomes of the regulatory verification

The number and type of deficiencies will determine the on-going frequency of verification visit as given in the table given in section 6.6.3.

### 6.6.2 Rating of vessels

| Rating of the Establishment | Number of minor deficiencies | Number of major deficiencies | Number of serious | Number of critical |
|---|---|---|---|---|

| | | | | |
|---|---|---|---|---|
| | | | **deficiencies** | **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**<br>**(not approved)** | NA | NA | 5 or more | 1 |

*NA: Not applicable in this case.

***Auditing Protocol***

All auditing done will be done using the prescribed checklist in Annex 18.3.

### 6.6.3 Verification Frequency

**EU Vessels**

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

Note: these frequencies apply to full ongoing verification visits. Partial or random verification visits

| 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<br>2. Verification reports evaluated and it decided if there is need for special action to be taken, and compliance database<br>3. The CA decides if there is need for an immediate suspension or if a short time to correct the noncompliance can be given. | |

may be carried out more frequently on an "as needed" basis.

**New Operators**

Any new operators of vessels will commence inspections at the most frequent visit frequency and future frequencies will be dependent on the outcome of the initial inspection as given in the previous tables.

Vessels listed on the external list for export to the EU will be required to meet the requirements of the Vessel Standards including the requirements given in Appendix Five. Operators of vessels must formally apply to the CA in writing for removal from the EU exporters list before they can cease compliance with these written procedures.

**HACCP Plan, SSOP/GMP and Infrastructure Reviews (Forms F01, F02)**

These are to be completed before a vessel commences operation and again when changes are made or at least annually.

Every FBOs shall provide the CA with their HACCP Plan and the relevant PRP (GHP) manual for assessment and approval on a yearly basis.

**Suppliers to EU exporters**

The frequency of regulatory verification for vessels 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.

However more frequent partial or random spot checks may be completed more frequently on an "as needed" basis.

**Traceability Checks**

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

When possible, the CA shall conduct traceability with a Catch Documentation Officer and share the report within the two agencies.

**Organoleptic Checks including Parasite Checks**

The frequency of organoleptic checks should be at least monthly.

## 6.7 Penalties for Non–Conformities

Actions taken for non-conformities will be taken by the CA in accordance to breaches stipulated under relevant Tuvalu legislation.

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

The CA Inspector will then complete a corrective action form (F13) as shown in Section 18.3 and return this with the completed inspection report.

## 6.8 Foreign Flagged Vessels

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

- ***Flagged in countries not authorised by DG SANTE***

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

- ***Flagged in countries authorised by DG SANTE***

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

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

a. On the basis of a joint communication from the CA of the country of which the vessel is flagged, on condition that:
    i. The third country appears on the list of third countries from which imports of fisheries products are permitted.

[5]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*

ii. The CA of that third country has inspected the vessel and has declared that it complies with Community requirements.

Or

b. 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 exported to another country would be eligible to EU export certificates.*

**Unloading and port trans-shipments**

If a factory or freezer vessel flying the flag of 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 Tuvalu as a port of transhipment, the following precautions shall apply:

a. By written authorization of the local and or regional fisheries authority in regards the legality of the capture volumes unloaded, the sanitary CA shall allow and control:
   i. The unloading of the vessel, the sorting on the wharf and loading onto containers of raw materials.
   ii. The transhipment in port facilities in between vessels

In the case of any doubts on the legality of catches and or sanitary conditions of the cargo the CA shall use the precautionary approach and not allow the unloading or transhipment.

These same conditions are to be used as well for carriers, and shall include the written authorisation for transhipment at sea if necessary.

***Only Fishery Products originating from vessels under these conditions and exported directly would be eligible to an EU export certificate and a non-processing letter indicating the details of the vessel.***

**Unloading and port trans-shipments of EU member states flagged vessels**

If a factory or freezer vessel flying the flag of an EU member country, requests using Tuvalu as a port of transhipment, the following precautions shall apply:

b. By written authorization of the local and or regional fisheries authority in regards the legality of the capture volumes unloaded, the sanitary CA shall allow and control:
   i. The unloading of the vessel, the sorting on the wharf and loading onto containers of raw materials.
   ii. The transhipment in port facilities in between vessels

In the case of any doubts on the legality of catches and or sanitary conditions of the cargo the CA shall use the precautionary approach and not allow the unloading or transhipment.

These same conditions are to be used as well for carriers and shall include the written authorisation for transhipment at sea if necessary.

*Fishery Products originating from these vessels under these conditions and exported directly do not require an EU export certificate, as the EU allows the captains from freezer and factory vessels to sign a model document as contemplated in Commission Implementing Reg. (EU) No 809/2011.*

## 7.0 Certification Protocol

### 7.1. General Certification

Health certificates for any market OTHER than the EU will be issued only for product caught and handled on vessels that are listed on the internal CA list.

Health certificates for the EU market must come from a vessel that shows on the CA's EU external list having been caught and handled on a vessel that maintains the EU supply chain by being on EITHER the CA EU Internal or External list.

Companies shall request an official CA Health Certificate by completing the "Health Certificate Export Information" form given in Annex 18.4.

These sections contain the following documentation:

- Health Certificate Export Information form (to be completed by the company when they wish to export product)
- General Health Certificate for exports from Tuvalu to all markets EXCEPT EU and China (or where other certificates are more applicable)
- Hygienic Handling certificate for product loaded off non-Tuvalu flagged vessels, being loaded into a container and requiring certification
- EU Health Certificate for exports direct to EU only
- Health Certificate for product being exported to China
- Non-commercial Consignment certificate

The table given in Annex 18.4 provides an overview of the situations in which health certificates can be issued by the Tuvalu CA for product off vessels.

It is the exporters' responsibility to request export certificates. The request must be made at least 48 hours prior to the shipment being dispatched otherwise the exporter will be refused certification.

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

Only export certificates, produced on official CAO stationery, may be used.

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

Please note: it is not necessary for the CA to complete histamine or other checks for every consignment that is exported, only as verification that their HACCP system is working or in situations where it is suspected that the consignment might be spoiled.

### 7.2 Certification of Product off Vessels

The CA on request may grant products unloaded off a foreign flagged vessel onto shore for containerisation prior to export. The certificate given in Annex 18.4 may be used for this purpose. Please note the certificate only confirms that the product was handled and stored according to

good manufacturing while onshore and makes no reference to conditions under which it was handled at sea as this is out of the CA's control.

### 7.3 EU CERTIFICATION

EU Health certificates will only be issued for product processed on vessels that are listed on the EU Approved Establishment list.

A single, original, fully completed EU Health certificate must accompany each shipment. A copy of the EU Health Certificate is given in Annex 18.4. The legal background and example certificate is given in the EU Commission Implementing Regulation 2020/2235.

The certificate provides the *official guarantees* from the CA to the EU regarding the relevant provisions of Regulations (EC) No 178/2002, (EC) No 852/2004, (EC) No 853/2004 and (EU) No 2017/625 and certify that the fishery products described were produced in accordance with those requirements, and in particular that they:

- Have been obtained in the region(s) or countries which, at the date of issue of this certificate is/are authorised for entry into the Union of fishery products and in Annex IX to Commission Implementing Regulation (EU) 2021/405;
- Come from (an) establishment(s) applying general hygiene requirements and implementing a programme based on the HACCP principles in accordance with Article 5 of Regulation (EC) No 852/2004, regularly audited by the CA, and being listed as an EU approved establishment;
- 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;
- Have not been stored in holds, tanks or containers used for other purposes than the production and/or storage of fishery products;
- 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 Regulation (EC) No. 2073/2005;
- 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;
- Have been produced under conditions guaranteeing compliance with the maximum levels for contaminants laid down in Commission Regulation (EC) No. 2023/915;
- Have satisfactorily undergone the official controls laid down in Articles 67 to 71 of Commission Implementing Regulation (EU) 2019/627.

The Tuvalu CA-TL will authorise those Competent authority officers approved to sign EU and non-EU Health Certificates and ensure that these officers:

- Are impartial.
- Free from conflict of interest.
- Have received appropriate training.

***Note**: The EU requires certification of any samples of fish and fish products destined for human consumption. EU officials have confirmed that a certificate must accompany exports of fish products for personal use, of a weight greater than 1 kg.*

### 7.3.1 Obtaining a EU Health Certificate

The name and number of the establishment where the fish was processed for export to the EU must be recorded on the EU Health Certificate. It must be recorded as on the List of Establishments Approved to Export Fish to the EU (the EU List).

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

Tuvalu exporters should ensure that their products are accompanied by the proper EU documentation prior to being exported from Tuvalu, if transhipped via another country.

Certificates would be raised using the certification database managed by the CA at the headquarters of the CA.

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

#### 7.3.1.1 E-Certificates via Traces.

The Tuvalu CA bases its EU certification on the e-certification under the TRACES platform to provide more efficiency to the certificate system.

The aim of the TRACES system is to effectively and efficiently notify EU authorities of the pending import thus properly managing consignments at EU borders.

The system requires the nomination of at least two FBOs per listed facility who will be managing TRACES to be registered by the competent authority they linked with. Nominated FBOs need to fill all relevant information in an electronic standardized format before sending it to the CA. Upon notification by the operators, the delegated person responsible for the certifications or his/her delegates must verify all documents before printing and signing of the validated certificate by the certification officers. The original certificate is then signed and stamped by the certification officer on each page and copies are stamped and sealed. A copy to be retained by the CA. Detail information available on the model copy is the same present on the previous manual copy.

Re-issue of a certificate is possible provided the original is immediately returned before reissuance is done. Therefore, it is the exporters' responsibility to request the re-issue of export certificates.

Procedural processes for obtaining EU health certificates through e - traces are similar to those processes defined for paper certification.
The current format to be used for the EU health certificate is given in section 18.4. This health certificate format is mandated through Annex III Chapter 28 of Commission Implementing Regulation (EU) 2020/2235.

They will use the online user manual for imported goods into the EU given on the following link:

https://webgate.ec.europa.eu/cfcas3/tracesnt-webhelp/Content/P_IMPORT/Intro.htm

#### 7.3.1.2 Manual Issuance of EU Certificates

***Manual issuance of health certificates is only made when the electronic system has encountered problem beyond repair.***

The CA must inform DG SANTE of the problem and when only consented by the appropriate authority then the certificate can be issued.

Requests must be made in writing to the competent authority using the prescribed form at least 24 hours in advance to give the CA sufficient time to prepare the certificate. Only listed exporters may apply for official assurances regarding their products. Only export certificates, produced on official Ministry 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.

The name and number of the establishment where the fish was processed for export to the EU must be recorded on the EU Health Certificate. It must be recorded as on the List of Establishments Approved to Export Fish to the EU (the EU List).

Information published on the EU List must match the information about the exporting establishment that is listed on the certificate and the product labels. Tuvalu exporters should ensure that their products are accompanied by the proper EU documentation prior to being exported from Tuvalu, if transhipped via another country.

Certificates would be raised using the certification database managed by the Competent Authority.

The Tuvalu CA Team Leader or his/her designates shall be the legal signatory for the certificate.

### 7.3.2 Preparation of the EU Health Certificate

Exporters must ensure that the raised export certificate information is correct prior to it being submitted for issuing by a certifying officer. The exporters must submit the information required within 2 days prior to the expected departure of the consignment. The two days will give the CA to verify and prepare the Health Certificate. Failure to comply will result in products being put off for next shipment.

The certificate will be completed in an official language for the country where the shipment will be subject to import controls. (*Border Control Post of first entry*).

The following information should appear:

*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.*

**Part I - Information on the consignment shipped**

Country: Tuvalu

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.21. Only to be used for products that will transit through another third country before arriving in EU.

Box I.22. Not applicable

Box I.24. Total number of packages: the number of packages for products. In the case of bulk consignments, this box is optional.

Box I.25.Total Quantity:

Box I.26.Total Net and Gross Weight:

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.27. Description of consignment: 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 - Health Information**

Box II.1 Public Health Attestation for fish and fishery products.

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

Box II.b IMSOC reference

Box II.2 Attestation for live fish

**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.

### 7.4 Issue of export certificates

A certifying officer must not issue an export certificate unless:

a) The certificate is covered by the appropriate supporting documentation provided for in this Programme, and/or

b) Has current first-hand knowledge of the on-site operation to state that the information used in the export certificate set is complete and accurate.

The certifying officers issuing the export certificate must additionally check the contributing premises compliance status, product restrictions and other relevant information on the compliance database prior to issuing the export certificate.

The certifying officer may complete onsite verification of the consignment being certified but this will not be carried out on a regular basis unless the listed establishment has a verification rating of "B" or "C." No certificates will be issued for establishments with a "D" rating.

An export certificate must not be issued by a certifying officer if the information provided by the exporter is known, by the certifying officer, to be incomplete, inaccurate, or otherwise, not in accordance with any requirement of the applicable legislation.

A certifying officer must not issue an export certificate that has been altered or modified in any way other than in accordance with an overseas market access requirement.

A certifying officer must not sign blank export certificates.

Where the export certificate contains alternative statements to cover different product types, the certifying officer must cross out any statements that are not relevant to the consignment being certified.

Certificates cannot be dated after the product was dispatched from the country, unless it is a replacement certificate.

Examples of supporting documents needed:

- Container load list and packaging list if different
- Bill of lading
- Company analysis results for histamine analysis
- Catch and health Certificate in case of imported fish

### 7.4.1 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.

### 7.4.2 Requirements for paper export certificates

Every hand-signed export certificate must have:

- the certifying officer's name shown legibly below the signature.
- the certifying officer's signatory seal.
- the date of signature.

The signature and stamp of a certifying officer must be in a colour different from that of the text of the export certificate.

Only one hand-signed original export certificate may be issued by a certifying officer as a single certificate.

Where declarations are entered on the reverse side of an export certificate, they must have the certifying officer's name and qualifications. It must also be signed, sealed and dated in the same manner as declarations entered on the front of the certificate.

Certifying officers must keep file copies of all paper export certificates they sign for 2 years.

The file copies must be exact replicas of the original completed certificate.

### 7.4.3 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:

a. The entire number must be in the same style/font.
b. Spaces are not permitted.
c. Certificate numbers must be issued sequentially.
d. Shoulder numbers must not be repeated within any two-year period.
e. 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.

In Tuvalu, the following format is used to number export certificates:

- Sequential three-digit number to indicate the number of certificates issued to date i.e. 001, then 002 and so on
- "T" (for Tuvalu)
- "EU" if applicable for EU OR "N" for non-EU
- Date shown in the following format XX = day of month "YY" and "ZZZZ" for the year

i.e. 001TN02022024 signifies the first certificate issued which is for a non-EU licenced facility and with an issue date of 2nd February 2024.

### 7.4.4 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.

### 7.4.5 Allocation of signatory stamp

Each certifying officer is issued with a CA signatory stamp, which must be used only by the person to whom it is issued.

### 7.4.6 Reissue of Export Certificates

Formal CA involvement with the export of any product ceases when the consignment leaves Tuvalu.

Replacement of incorrect official assurances for any reason is not an automatic event and each case is investigated.

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. Replacement of incorrect official assurances for any reason is not an automatic event and each case is investigated.

Application for replacement export certificates made by the consignor must be made within 5 days of the vessel departure. Requests for change will be decided on a case-by-case basis and will only be approved for genuine mistakes/reasons in the original health certificate or information required by the European Commission legislation. Requests for health certificate replacements for marketing or sales-related activities will be declined.

Application for replacement export certificates made by the border inspection posts or other authorised persons must be made within the period of the voyage or shortly after arrival and inspection at the destination. CA is not able to provide replacement export certificates after this time. Product that remains longer term in a foreign country is undoubtedly under the jurisdiction of the foreign government, irrespective of whether or not it is in a Customs bond store.

It is unrealistic to expect the CA to certify product beyond this point and doing so would raise ethical questions. The normal international practice is for onward shipments to be accompanied by the CA export certificate plus a certificate issued by the foreign government of the intermediate country. Exporters are advised to check that foreign governments will participate before despatching the product from the intermediate country.

In any event, CA Health certificates expire **four months** after the date of signature. This does not prevent foreign governments from continuing to recognise the validity of the certificate (e.g. long term storage in bond) but they usually expect any border checks to have been completed before the expiry date.

Companies shall complete the Request to Change Export Health Certificate Information form provided by the CA in the NCP.

### 7.4.7 Lost Export Certificates

The CA may approve on *a case-by-case* basis other procedures for the issue of replacement export certificates for product, which may perish or be condemned if not cleared promptly.

To obtain a replacement export certificate, the exporter must provide, to the original signing officer, a signed statement detailing the circumstances of the loss of the original signed export certificate. This must include, if appropriate, the name of the courier or other party that had control of the export certificate at the time of its loss, and any relevant reference numbers (e.g. courier pack number).

If satisfied with the declaration and explanation provided, certifying officers may issue a replacement export certificate set endorsed in the body of the certificate with the following declaration:

*"Replacement of Certificate No ..... Dated ..... which has been lost."*

Replacement export certificates must be issued with a new unique shoulder number.

Certifying officers must record on the file copies of the original certificate, that the certificate has been cancelled and replaced, and record the new shoulder number of the replacement certificate.

This part sets out the procedure for the reissue of an export certificate where there is an error in the issued certificate.

### 7.4.8 Incorrectly prepared export certificates

This part sets out the procedure for the reissue of a health certificate where there is an error in the issued certificate.

The 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.

Note: the CA will only consider a request for a replacement export certificate in this circumstance if the request is made within 5 days of the initial date of issuing the original certificate.

Also please note that if the CA has concerns over the number of requests for amendments to export certificates from a particular company they reserve the right to refuse the issuing of a replacement certificate.

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:

- outlining the reasons for replacement.
- stating that no authorities of foreign governments are involved in the need to replace the original issued export certificate.

Where the error is a consequence of an inadvertent 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.

The exporter must present the request for replacement export certificate sent to the signing office, where the original export certificate was issued along with:

- The original issued export certificate or

- 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.

## 7.5 PROCEDURE WHEN A FOREIGN GOVERNMENT IS INVOLVED

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 or be handed to Tuvalu diplomatic or trade post for destruction.

If the CA authorises 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."*

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.

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.

Replacement export certificates must be issued with a new unique shoulder number.

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.

The certifying officer must keep the original export certificate attached to the new file copy.

## 7.6 FOREIGN FLAGGED VESSELS

| 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:

### 7.6.1 Carrier Vessels

#### 7.6.1.1 EU and non-EU foreign flag : Transhipment and/or direct landing to EU.

In this circumstance as the product is not being landed directly into port but only transhipped in port or direct to any EU port, no Health Certificates or any type can be issued by the CA.

*Product originating from these vessels and transferred to a carrier vessel will not be eligible for a Health Certificate of any type from the Competent Authority.*

#### 7.6.2 Loaded into Containers and onto Container Ship

**7.6.2.1 Off EU approved vessels and going directly to EU.**

In this instance PROVIDED the CA is afforded the opportunity to inspect the unloading and view product test results as satisfactory, the CA will issue an EU Health Certificate.

*Product originating from these vessels and unloaded into a container on the wharf within Tuvalu will be eligible for an EU Health Certificate PROVIDED the CA sight and approve the unloading.*

Off Non-EU approved vessels and going directly to any non-EU market.

### 7.8 Non-commercial Consignments and Certification

Consignments of fish and fishery products that are taken out from Tuvalu shall require a health certificate for small consignments intended for human consumption but not for commercial sale. The CA shall issue a health certificate using the format given in section 18.4.

### 7.9 Captain's Declaration

In situations where a Tuvalu flagged vessel that is also included on the CA EU internal or external list but trans-shipping or unloading fish destined for another country who wishes to maintain the EU supply chain, the captain of that vessel may issue and sign a Captain's Declaration/Health Certificate as given in section 18.4.

The captain may only sign this certificate if he or she has been trained in the completion of this certificate and can attest that all conditions detailed in the certificate are correct.

A copy of the signed certificate must be sent to the Tuvalu CA Team Leader for information and filing.

### 7.10 Certification Integrity Standards

#### 7.10.1 Conditions for certifying officers

Certifying officers delegated by the CA:

a. Have a status which ensures their impartiality and have no direct commercial interest in the products being certified or in the holdings or establishments in which they originate.
b. Are fully aware of the significance of the contents of each certificate which they sign.

#### 7.10.2 Language considerations.

Certificates will be drawn up in the official languages of the first port of entry into the EU.

## 7.11 Traceability of certificates.

The CA must be able to link certificates with the relevant certifying officer and ensure that a copy of all certificates issued is held on file.

### 7.12 IUU Catch certificate.

The enforcement of the EU regulation 1005/2008 on Illegal, Unreported and Unregulated fishing activities in January 2010 has also brought some significant changes to the eligibility of fishing vessels for EU markets. This arrangement has only allowed the listing of Tuvalu Flag vessels to harvest fish and fishery products eligible for EU markets. The IUU Catch Certification is the responsibility of the flag state.

### 7.13 Sanctions

If it is found in the course of the checks that:

- A certifying officer has knowingly issued a fraudulent certificate.
- An individual, or an undertaking, has made fraudulent use of their position or has altered an official certificate.

The CA-TL shall take all necessary measures to ensure, as far as is possible, that the individual or undertaking cannot repeat the offence.

Such measures may include a refusal subsequently to issue an official certificate to that person concerned.

## 8.0 Rapid alerts and crisis management

### 8.1 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.

### 8.2 Types of rapid alert

The Commission provides three types of notice:

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

**Information notifications** concern 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.

**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 authorised 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

## 8.3 ORGANISATION FOR RAPID ALERTS IN TUVALU

All notifications involving seafood product of Tuvalu under RASFF would be integrated within the CA under the leadership of the CA-TL in parallel with the crisis management plans, setting out the procedures to be followed for recall or withdrawal of products from the market.

Under the following structure

a) List of contacts at national level likely to be involved in the management of the issue (Customs, logistics and transport companies, Foreign Affairs, Tuvalu embassy at the EU, legal representatives of the establishment, etc.)

b) The formation of a Management Group (MG) made up of key people involved as detailed in a) above and the nomination of a National Coordinator (NC) for the MG.

c) In case of a notification the NC will establish a management group (MG) with the key people involved. This group will be headed by the Head of the Manager /CA Team Leader, (or an approved delegate) who would centralize all internal and external communications that case generates (including the press)

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

## 8.4 FOLLOW-UP AND CRISIS MANAGEMENT

Traceability has become the key requirement for this section.

a) In the 1st instance the MG will determine if the case fall under the scope of the CA

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

c) The MG will work with the establishment/s of the product origin in two parallel fronts:

1. Guarantee the reduction and/or elimination of the risk in the remaining product that are at any stage of production.
2. Investigate y clear up the causes of on conformity,

d) The CA Team Leader will notify the Director for Fisheries of the issue.

e) Independently of the outcomes of the investigation, the systems of control in the establishment/s of product origin will need to be re-evaluated with the objective of avoiding repetition and if necessary, review the certification and listing status of the establishment/s.

f) Based on outcomes, the CA has the right of suspending certification and/or revise the listing status of the establishment.

g) Finally, the CA will provide a complete report to the EU in regards the outcomes of the crisis management.

### 8.5 PRODUCT WITHDRAWAL AND RECALL.

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 consumers products already supplied to them when other measures are not sufficient to achieve a high level of health protection.*"

Withdrawal from the market therefore requires the food business operator to:

- Cease marketing the product or batch concerned where any affected products or batches of product held is in stock.
- Inform customers of the problem so that any affected products or batches of product held in stock are not marketed.

Recall from the market requires the food business operator to:

- Undertake the above actions as for a product withdrawal.
- Ensure that any products which may have reached the consumer, but have not been consumed, are not consumed, and are returned to the seller.
- Provide information to consumers regarding actions to take should the product have been consumed.

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

Verifiers should therefore ensure that the requirements placed on enterprises for withdrawal and recall plans are complied with and should review the content of these plans to ensure their feasibility.

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

## 9.0 Traceability guidelines

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

- All products entering the possession of the establishments should be allocated with a unique batch code.
- Products should be identifiable to a batch code whilst in the possession of the operator.
- Products consigned to another should be identifiable to a batch code.
- EU-listed land-based establishments must use a proven e-traceability system to provide traceability for the purposes of this section.
- The traceability system should cover the complete supply chain (fishing to export customer) and include the three key components:
    - Product routing

- Product pairing
- Mass balance

At a minimum, systems of traceability should record the following essential information in relation to each and every batch.

There should be 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

## 10.0 Labelling

### 10.1 Labels

Requirements for labelling are based on EU Regulation 1169/2011. Its aim is to ensure that the consumer gets all the essential and correct information in regards to the composition of the product, the manufacturer, methods of storage and preparation etc.

### 10.2 Date Labels

For the purpose of this clause, 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, description and other indicators required. Where the production dates are required on any export certificate from product(s) exported from Tuvalu to EU, they must reflect the following dates:

a) Date of catching/harvest and freezing (if different to the date of harvest/catch) on board for frozen product.

For seafood where the production dates are required on the health certificate:

a) A label entry with the word "production date" is required on the labels (outer carton) for any product where EU requirements have stipulated that a packaging date or a processing type date range is to be shown on the label.
b) The "production date" label entry may be used in place of any default labelling requirements.
c) The production date entry, on labels, must be within the production date range on the export certificate with at least one label matching the start and the end date respectively.
d) The production date on the labels must be shown in clear, e.g. 21 Jul 2023, 1 May 2023-19 May 2023. Jan 23-Feb 23.

Where range of dates is shown, the range must be relevant to, and not exceed the limit of, the batch in question. Exporters are advised to confirm with importer that the date range for processing or packaging, with or without the delay reference, is acceptable.

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

## 11.0 Specifications Clarification and Appeals Procedure

### 11.1 CLARIFICATION PROVISIONS FOR EXPORTERS

#### 11.1.1 First instance

The CA personnel can provide clarification of the hereby-presented specifications but cannot vary, amend, or provide exemptions to the specifications.

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

#### 11.1.2 Second Instance

Where the CAO is unable to provide the clarification sought by the operator/licensee, it will refer the query to the CA-TL.

### 11.2 APPEAL PROVISIONS FOR EXPORTERS

#### 11.2.1 Procedure

Where any operator/licensee believes that information, clarification, or sanctioned is demonstrably unfair, inaccurate, or impinges on the operator/licensee's ability to conduct operations, they may contact the CA-TL.

The operator/licensee is required to advise the Verification personnel directly affected, prior to any direct contact with CA-TL. The operator/licensee should be aware that the likely first action of the CA-TL will be to seek the views of the verification officer.

The CA-TL after investigating the situation, must advise the operator/licensee and Verification officers in writing of the outcome of such investigation.

## 12.0 International instances

Official communication with foreign governments and Tuvalu 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 National Coordinator.

## 13.0 Approval of EU official testing laboratories

### 13.1 CRITERIA FOR DESIGNATION OF LABORATORIES

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

(1) The CA through the assistance of agencies such as the Forum Fisheries Agency (FFA) and the Secretariat of the Pacific Community (SPC) 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 online 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 level 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 follow.

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.

### 13.2 CRITERIA FOR VERIFICATION BY CA

The CA has also put in place criteria for verifications and below are the following paper checks 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. Record findings from the audit on form F24.

## 14.0 CA Reporting

The Competent Authority 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:

### 14.1 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-compliances; 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.

### 14.2 TECHNICAL

The accredited laboratory working with 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.

## 15. Fees

The Competent Authority reserved the right to levy any fees to certain services they offered as prescribed under their legislation.

## 16.0 Bibliographical and regulatory references

### 16.1 REPORTS

- *Scombrotoxin (histamine) Formation*. USFDA Fish and Fishery Products Guide (4th Ed.), June 2022.

## 16.2 NATIONAL REFERENCES

- National Food Safety Act (and subsequent amendments)
- Food Safety (Fishery Products) Regulations
- Tuvalu Vessel Standards

## 17.3 EUROPEAN LEGISLATION

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

EU Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirement 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 (EU) No 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

Regulation (EU) 2016/429 of the European Parliament and of the Council of 9 March 2016 on transmissible animal diseases and amending and repealing certain acts in the area of animal health

Regulation (EU) 1169/2011 on the provision of food information to consumers

Regulation 1333/2008 on Food additives

EC Regulation 2406/96, laying down common marketing standards for certain fishery products

Directive 2020/2184 (EU), Quality of water for human consumption

EC Regulation 2023/915 Maximum levels for certain contaminants and various amendments

EC Regulation 333/2007 Modified by 836/2011 Sampling methods & methods of analysis of heavy metals and various amendments

Decision 2002/657/EC, Performance of analytical methods & interpretation of results (implementing Directive 96/23/EC)

Commission Regulation (EU) 2016/582 of 15 April 2016 amending Regulation (EC) No 333/2007 as regards the analysis of inorganic arsenic, lead and polycyclic aromatic hydrocarbons and certain performance criteria for analysis

EC Regulation 2074/2005 Implementing measures for certain products

Regulation 2073/2005, Microbiological criteria for foodstuffs last amended by Regulation 1441/2007

Commission Regulation (EU) 2019/229 of 7 February 2019 amending Regulation (EC) No 2073/2005 on microbiological criteria for foodstuffs as regards certain methods

EC Regulation 10/2011, Plastics and food contact surfaces

Directive 2007/42, Regenerative Cellulose

Regulation 2022/1616 Recycled plastics

Regulation 2005/1895 Plastics, coatings or adhesives containing epoxy derivatives

Regulation 931/2011, Food Traceability requirements

Regulation 1379/2013, Common Organisation of the Markets in Fishery and Aquaculture Products

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)

Commission Delegated Regulation (EU) 2022/2292 supplementing Regulation 2017/625 of the European Parliament and of the Council with regard to requirements for the entry into the Union of consignments of food-producing animals and certain goods intended 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 2020/2235 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

Regulation (EU) 2021/405 laying down the lists of third countries or regions thereof authorised for the entry into the Union of certain animals and goods intended for human consumption.

## 18.0 Annexes

### 18.1 EU Regulatory Testing

| *Test* | *Regulatory Ref.* | *No. of samples* | *Sampling requirements* | *Method of analysis* |
|---|---|---|---|---|
| Lead | Commission Regulations 333/2007; 2016/582<br>And Regulation 2023/915<br>And subsequent amendments | 1 sample per species per establishment every 12 months | 0.3 mg/kg muscle meat of fish and cephalopods<br>0.5 mg/kg crustaceans<br>1.5 mg/kg bivalve molluscan shellfish | LOD equal to three tenths of the LOQ<br>LOQ less than or equal to one fifth of the ML |
| Cadmium | Commission Regulations 333/2007; 2016/582<br>And Regulation 2023/915<br>And subsequent amendments | 1 sample per species per establishment every 12 months | 0.1 mg/kg mackerel and tunas<br>0.15 mg/kg bullet tuna<br>0.25 mg/kg swordfish<br>0.5 mg/kg Crustaceans<br>1.0 mg/kg cephalopods and bivalve molluscan shellfish<br>0.05 mg/kg other species | LOD equal to three tenths of the LOQ<br>LOQ ≤ one fifth of the permissible level<br>Except for "other species:"<br>LOQ ≤ two fifths of ML |
| Mercury | Commission Regulations 333/2007; 2016/582<br>And Regulation 2023/915<br>And subsequent amendments | 1 sample per species per establishment every 12 months | 1.0 mg/kg tuna, marlin, sailfish, shark, swordfish, oilfish, escolar, bonito, snake mackerel<br>0.3 mg/kg cephalopods, marine gastropods, mackerel<br>0.5 mg/kg other species | LOD equal to three tenths of the LOQ<br>LOQ less than or equal to one fifth of the ML |
| Inorganic Tin (ONLY FOR CANNED PRODUCT) | Commission Regulations 333/2007; 2016/582<br>And Regulation 2023/915<br>And subsequent amendments | Canned tuna:<br>1 can per product variant per establishment per year | 200 mg/kg canned tuna | LOD equal to three tenths of the LOQ<br>LOQ ≤ 10 mg/kg |

<table>
<tr><th>Test</th><th>Regulatory Ref.</th><th>No. of samples</th><th>Sampling requirements</th><th>Method of analysis</th></tr>
<tr><td>Dioxins and PCBs – fish</td><td>Commission Regulation 333/2007; and<br>Commission Regulation 2017/644 and<br>Regulation 2023/915<br>And subsequent amendments</td><td>1 sample per species per establishment year</td><td>3.5 pg/g dioxins (sum of dioxin)<br>6.5 pg/g wet weight dioxins and PCBs (sum of dioxins and dioxins like PCBs)<br>75 ng/g wet weight sum of PCB#28,52,101,138,153,180</td><td>Not specified</td></tr>
<tr><td>Dioxins and PCBs – fish oil</td><td>Commission Regulation 333/2007; and<br>Commission Regulation 2017/644 and<br>Regulation 2023/915<br>And subsequent amendments</td><td>1 sample per oil product species per establishment every year</td><td>1.75 pg/g dioxins (sum of dioxin)<br>6.0 pg/g wet weight dioxins and PCBs (sum of dioxins and dioxins like PCBs)<br>200 ng/g wet weight sum of PCB#28,52,101,138,153,180</td><td>Not specified</td></tr>
<tr><td>Perfluoroalkyl substances</td><td>Regulation 2023/915<br>And subsequent amendments</td><td>1 sample per species per establishment year</td><td>
<table>
<tr><th>PFOS</th><th>PFOA</th><th>PFNA</th><th>PFKxS</th><th>Sum of all</th></tr>
<tr><td colspan="5">Bonito</td></tr>
<tr><td>7.0</td><td>1.0</td><td>2.5</td><td>0.2</td><td>8.0</td></tr>
<tr><td colspan="5">All other species</td></tr>
<tr><td>2.0</td><td>0.2</td><td>0.5</td><td>0.2</td><td>2.0</td></tr>
</table>
</td><td>Not specified</td></tr>
<tr><td>Polyaromatic hydrocarbons (PAHs)<br>SMOKED PRODUCT ONLY</td><td>Commission Regulation 333/2007<br>And Regulation 2023/915<br>And subsequent amendments</td><td>1 sample per species per establishment year</td><td>2.0 ug/kg smoked fish benzo(a)pyrene<br>12.0 ug/kg sum of benzo(a)- pyrene, benz(a)anthracene, benzo(b)fluoranthene and chrysene</td><td>LOD less than 0.3 ug/kg for all 4 substances<br><br>LOQ less than 0.9 ug/kg for all 4 substances</td></tr>
</table>

| Test | Regulatory Ref. | No. of samples | Sampling requirements | Method of analysis |
|---|---|---|---|---|
| Histamine | Commission Regulation 1441/2007, and<br>Commission Regulation 2073/2005<br>And<br>Commission Regulation 2019/229<br>And<br>Commission Regulation 2019/2013<br>And subsequent amendments | 9 samples bi-annually per species per establishment/vessel | No more than 2 samples with results between 100 and 200 mg/kg and no results over 200 mg/kg<br>ALSO<br>The average of the 9 subunits must not exceed 100 mg/kg | HPLC<br>ISO 19343 |

Note:

1. Only test inorganic tin on canned goods destined for EU.
2. Only test PAHs on smoked product destined for EU.
3. Reference for sampling plan "Official Histamine and Environmental Contaminants Monitoring programme for EU Seafood Exports."
4. Establishment mean processing plant, vessels and independent cold store that are approved and or listed by the CA.
5. For fish, sample shall mean "fish of the same species from the same lot."

***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 |

No ciguatoxic fish can be exported to the EU.

**Ready to Eat Products**

| Tests | Sample plan |
| --- | --- |
| *Listeria monocytogenes.* | n= 5, c= 0, M= absence in 25 g using EN/ISO 11290-1 method |
| *Salmonella* spp. | n= 5, c= 0, M= absence in 25 g using EN ISO 6579-1 method |

| Water | | | | |
|---|---|---|---|---|
| ***Test*** | ***Regulation*** | ***No. of samples*** | ***Maximum level*** | ***Method of analysis/Accuracy*** |
| Acrylamide | Council Directive 2020/2184 | 1 sample per year | 0.1 ug/l | LOQ and uncertainty 30% of MRL |
| Antimony | | 1 sample per year | 10.0 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Arsenic | | 1 sample per year | 10 ug/l | LOQ & uncertainty 30% of MRL |
| Benzene | | 1 sample per year | 1.0 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Benzo(a)pyrene | | 1 sample per year | 0.01 ug/l | LOQ 30% of MRL<br>Uncertainty 50% of MRL |
| Boron | | 1 sample per year | 1.5 mg/l | LOQ 30% of MRL<br>Uncertainty 25% of MRL |
| Bromate | | 1 sample per year | 10 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Cadmium | | 1 sample per year | 5.0 ug/l | LOQ 30% of MRL<br>Uncertainty 50% of MRL |
| Chlorite | | 1 sample per year | 0.25 mg/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Chromium | | 1 sample per year | 50 ug/l until 2036 then 25 ug/l | LOQ & uncertainty 30% of MRL |
| Copper | | 1 sample per year | 2.0 mg/l | LOQ 30% of MRL<br>Uncertainty 25% of MRL |
| Cyanide | | 1 sample per year | 50 ug/l | LOQ & uncertainty 30% of MRL |
| 1,2-dichloroethane | | 1 sample per year | 3.0 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Epichlorohydrin | | 1 sample per year | 0.1 ug/l | LOQ & uncertainty 30% of MRL |
| Fluoride | | 1 sample per year | 1.5 mg/l | LOQ 30% of MRL<br>Uncertainty 20% of MRL |

| *Water (cont)* | | | | |
|---|---|---|---|---|
| ***Test*** | ***Regulation*** | ***No. of samples*** | ***Maximum level*** | ***Method of analysis/Accuracy*** |
| Lead | Council Directive 2020/2184 | 1 sample per year | 10 ug/l until 2036 then 5 ug/l | LOQ & uncertainty 30% of MRL |
| Mercury | | 1 sample per year | 1.0 ug/l | LOQ & uncertainty 30% of MRL |
| Nickel | | 1 sample per year | 20 ug/l | LOQ 30% of MRL<br>Uncertainty 25% of MRL |
| Nitrate | | 1 sample per year | 50 mg/l | LOQ 30% of MRL<br>Uncertainty 15% of MRL |
| Pesticides | | 1 sample per year | 0.1 ug/l | LOQ & Uncertainty both 30% of MRL<br>'Pesticides' means:<br>— organic insecticides,<br>— organic herbicides,<br>— organic fungicides,<br>— organic nematocides,<br>— organic acaricides,<br>— organic algicides,<br>— organic rodenticides<br>— organic slimicides |
| Pesticides – total | | 1 sample per year | 0.5 ug/l | LOQ & Uncertainty both 30% of MRL |
| Polycyclic aromatic hydrocarbons | | 1 sample per year | 0.1 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Selenium | | 1 sample per year | 20 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Tetrachloroethene and trichloroethene | | 1 sample per year | 10 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Trihalomethanes | | 1 sample per year | 100 ug/l | LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Vinyl chloride | | 1 sample per year | 0.5 ug/l | LOQ 30% of MRL<br>Uncertainty 50% of MRL |
| Uranium | | 1 sample per year | 30 ug/l | LOQ & Uncertainty both 30% of MRL |

| *Water (cont)* | | | | |
|---|---|---|---|---|
| ***Test*** | ***Regulation*** | ***No. of samples*** | ***Maximum level*** | ***Method of analysis/Accuracy*** |
| Sodium | Council Directive 2020/2184 | 1 sample per year | 200 mg/l | LOQ 30% of MRL<br>Uncertainty 15% of MRL |
| Chloride | | 1 sample per year | 250 mg/l | LOQ 30% of MRL<br>Uncertainty 15% of MRL |
| Manganese | | 1 sample per year | 50 ug/l | LOQ & uncertainty 30% of MRL |
| Ammonium | | 4 samples per year | 0.5 mg/l | Only if used as water treatment chemical<br>LOQ 30% of MRL<br>Uncertainty 40% of MRL |
| Aluminium | | 4 samples per year | 200 ug/l | Only if used as water treatment chemical<br>LOQ 30% of MRL<br>Uncertainty 25% of MRL |
| Iron | | 4 samples per year | 200 ug/l | Only if used as water treatment chemical<br>LOQ & Uncertainty both 30% of MRL |
| Nitrite | | 4 samples per year | 0.5 mg/l | LOQ 30% of MRL<br>Uncertainty 20% of MRL |
| Colour | | 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 30% of the parametric value with a trueness of 0,2 pH unit and a precision of 0,2 pH unit. |
| Odour | | 4 samples per year | Acceptable to consumers and no abnormal change | Not specified |
| Taste | | 4 samples per year | Acceptable to consumers and no abnormal change | Not specified |

| *Water (cont)* | | | | |
|---|---|---|---|---|
| ***Test*** | ***Regulation*** | ***No. of samples*** | ***Maximum level*** | ***Method of analysis*** |
| Turbidity | Council Directive 2020/2184 | 4 samples per year | Acceptable to consumers and no abnormal change | Not specified |
| *Escherichia coli* | | 4 samples per year | 0/100ml | ISO 9308-1 or 9308-2 |
| Total Coliforms | | 4 samples per year | 0/100ml | ISO 9308-1 or 9308-2 |
| Total Viable Count 22°C | | 4 samples per year | No abnormal change | EN ISO 6222 |
| Intestinal *Enterococci* | | 4 samples per year | 0/100ml | EN ISO 7899-2 |

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.

## 18.2 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.

| Parameter | Product | ML | Chinese legislation | Test Frequency | Method |
|---|---|---|---|---|---|
| Benzo(a)pyrene | Smoked fish | 5 ug/kg | GB2762-2022 | Annual test | GB5009.27 |
| Lead | Fish | 0.5 mg/kg | GB2762-2022 | Annual test | GB5009.12 |
| | Crustaceans | 0.5 mg/kg | GB2762-2022 | Annual test | GB5009.12 |
| | Molluscs | 1.5 mg/kg | GB2762-2022 | Annual test | GB5009.12 |
| Cadmium | Fish | 0.1 mg/kg | GB2762-2022 | Annual test | GB5009.15 |
| | Canned fish | 0.2 mg/kg | GB2762-2022 | Annual test | GB5009.15 |
| | Crustaceans | 0.5 mg/kg | GB2762-2022 | Annual test | GB5009.15 |
| | Bivalves, gastropods, cephalopods, echinoderms | 2.0 mg/kg | GB2762-2022 | Annual test | |
| Mercury | Carnivorous Fish | 1 mg/kg | GB2762-2022 | Annual test | GB5009.17 |
| | Tunas | 1.2 mg/kg | GB2762-2022 | Annual test | GB5009.17 |
| | Marlins | 1.7 mg/kg | GB2762-2022 | Annual test | GB5009.17 |
| | Sharks | 1.6 mg/kg | GB2762-2022 | Annual test | GB5009.17 |
| Tin | Canned foods | 250 mg/kg | GB2762-2022 | 10 cans per lot per year | GB5009.16 |
| Chromium | Fish and crustaceans | 2.0 mg/kg | GB2762-2022 | Annual test | Gb5009.123 |
| Inorganic Arsenic | Fish and crustaceans | 0.1 mg/kg | GB2762-2022 | Annual test | GB5009.11 |
| | Fish oil | 0.1 mg/kg | GB2762-2022 | Annual test | GB5009.11 |
| Di-methyl Nitrosamine | Aquatic fish | 4 µg/kg | GB2762-2022 | Annual test | GB5009.26 |
| PCBs (sum of PCB28, PCB52, PCB101, PCB118, PCB138, PCB153 and PCB180) | Aquatic Products | 20.0 ug/kg | GB2762-2022 | Annual test | GB5009.190 |

| Parameter | Product | ML | | | | Chinese legislation | Test Frequency | Method |
|---|---|---|---|---|---|---|---|---|
| Colonies count | Aquatic products | n = 5 | c = 2 | m = ≤5 x $10^4$ | M = ≤1 $0^5$ | GB10136-2015 | 5 samples per species per year | GB4789.2 |
| Coliforms | Aquatic products | n = 5 | c = 2 | m = 10 | M = 100 | GB10136-2015 | 5 samples per species per year | GB4789.3 |
| Histamine | Scombroid species | 40 mg/100g | | | | GB2733-2015 | 5 samples per species per year | GB/T 5009.208 |
| Histamine | Non-scombroid species | 20 mg/100g | | | | GB2733-2015 | 5 samples per species per year | GB/T 5009.208 |
| *Salmonella* | Ready to eat products and dry products | n = 5 | c = 2 | m = 0 per 25 g | - | GB29921-2021 | 5 samples per product type per year | GB 4798.4 |
| *V. parahaemolyticus* (MPN/g) | Raw, ready to eat products | n = 5 | c = 2 | m = 100 | M = 1000 | GB29921-2021 | 5 samples per product type per year | GB 4798.7 |
| *Listeria monocytogenes* | Raw, ready to eat products | n = 5 | c = 0 | m = 100 | - | GB29921-2021 | 5 samples per product type per year | GB 4798.30 |

*** = Most Probable Number**

## 18.3 CA CHECKLISTS

**F00 – Verification Report Cover**

| **Establishment:** | **Approval Number:** |
|---|---|
| **Address:** | **Telephone:**<br>**E mail:** |
| **Type of verification**<br>[ ] 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** | |

**Attached forms**

| F01 | F02 | F07 | F07B | F08 |
|---|---|---|---|---|
| F11 | F12 | F13 | | |

## F01 – Documental verification of HACCP (Desktop Review)

*Based on directives and regulations CE/178/2002, 852, 853/2004, 2017/625, National Food Safety Act, amendments and Regulations and Vessel Standards*

| **Name of the establishment:** | **Approval Number:** |
|---|---|
| **Verification Officers:** | **Establishment representatives:** |
| **References consulted:** | **Date and time of verification:** |
| • National Food Safety Act<br>• Food Safety (Fishery Products) Regulation<br>• Tuvalu Competent Authority National Control Plan<br>• Tuvalu Vessel Standards | |
| **Document title and version numbers of documents reviewed:** | |

***S** = satisfactory* ***NS** = not satisfactory*

| | S | NS | Comments |
|---|---|---|---|
| **HACCP (4.6.1/4.6.2)** | | | |
| **1. Management Commitment and Preliminary Steps** | | | |
| 1.1 Company/section general description providing sufficient information including company name, address, overall person responsible, phone number? | | | |
| 1.2 Scope: product name(s), the start and finish of each process covered by the HACCP plan as well as a list of the SSOPs and other programmes that support the HACCP plan | | | |
| 1.3 Organisation: Is there a company organisation chart or similar explanation for key personnel involved in HACCP? | | | |
| 1.4 HACCP policy: Is there a documented HACCP policy signed by the most senior person in the company? | | | |

| HACCP | | | |
|---|---|---|---|
| | S | NS | Comments |
| 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? Are these accurate and up-to-date? | | | |
| 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, source of raw material, intended use, intended consumer (include young and sensitive consumers), storage directions, packaging, additives/ingredients, distribution, instruction for use as relevant to the product? | | | |
| **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[6] 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? | | | |

[6] Physical Chemical and Biological Hazards

| | S | NS | Comments |
|---|---|---|---|
| 4.6 If PRPs are used for control are these available and provide adequate control? | | | |
| **5. Determination of CCP** | | | |
| 5 1 The Identification is consistent with the identified hazards and method used? | | | |
| 5.2 Are CCPs appropriate for product and end use? | | | |
| 5.3 Was a proven tool used to determine CCPs? | | | |
| **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 taking into account scientific 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 includes 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, audits, annual review, final product testing, staff training and calibration of equipment as relevant to the product/process and possibly audits, annual HACCP review? | | | |

| 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 Activity:**<br>NS/S (HACCP will only be approved when all S) | | | |
| **CA Officer(s) Name and Signature:** | | **Date/Time:** | |
| **FBO Representative Name and Signature:** | | **Date/Time:** | |

## F02 – Verification of pre requisites and support programmes (desk top review)

| *EU Regulation 852/2004, 853/2004, 2073/2005 and 2074/2005, National Food Safety Act, amendments and Regulations and Industry Guidelines* | |
|---|---|
| **Name of the establishment:** | **Approval Number:** |
| **Verification Officers** | **Company Representatives** |
| **References consulted:** | |
| • National Food Safety Act<br>• Food Safety (Fishery Products) Regulations<br>• Tuvalu Competent Authority National Control Plan<br>• Tuvalu Vessel Standards | **Date and time of verification:** |
| **Document title and version numbers of documents reviewed:** | |

***S** = satisfactory* ***NS** = not satisfactory*

| Element to verify | S | NS | Comments |
|---|---|---|---|
| **1. Water/Ice/Steam (3.4.5)** | | | |
| 1.1 Documented system for controls on potable water, seawater, ice and steam (as applicable) including what is tested, limits, how often, by who and records? | | | |
| 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 (4.9)** | | | |
| 2.1 Documented system that covers overall responsibility, the steps in the recall procedure and a review of recall effectiveness. | | | |
| **3. Cleaning and Sanitation (4.1.2)** | | | |
| 3.1 Documented system that covers areas/items to be cleaned, 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 (4.2)** | | | |
| 4.1 Documented system covers controls on personal conduct, smoking, eating, chewing betel nut, controls on illnesses and cuts/sores, protective clothing to be worn, jewellery controls and Handwashing procedure? | | | |

| Element to verify | S | NS | Comments |
|---|---|---|---|
| **5. Storage and Transport (4.4.3)** | | | |
| 5.1 Documented system covering controls on freezers, cool stores, dry stores, containers and transport to minimise contamination? | | | |
| 5.2 Documented system covers temperature controls | | | |
| **6. Repairs and Maintenance (4.5)** | | | |
| 6.1 Documented system covering preventative 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 (4.1.7)** | | | |
| 7.1 Documented system covering a list of chemicals to be used (maintenance, cleaning and pest control) | | | |
| 7.2 Documented system requires the labelling and separate/secure storage of chemicals | | | |
| **8. Pest Control (4.1.6)** | | | |
| 8.1 Documented system covering all likely pest and how pest entry will be prevented including doors, gaps and holes etc. | | | |
| 8.2 Documented system details how pest will be eradicated if they enter | | | |
| 8.3 Documented system details controls to prevent pest breeding both inside and outside the factory | | | |
| 8.4 Documented system requires the use of approved pes control chemicals | | | |
| 8.5 Documented system details the checks to be done to demonstrate compliance and actions to take in the event of pest infestation | | | |
| **9. Training (4.8)** | | | |
| 9.1 Documented system covering induction and specialist training required | | | |
| 9.2 Documented system requires training records to be kept and an annual review of training needs by a skilled person | | | |

| Element to verify | S | NS | Comments |
|---|---|---|---|
| **10. Internal Audit and Compliance (4.11)** | | | |
| 10.1 Documented system covering checks to be carried out (daily, weekly, monthly, 6-monthly and annual) | | | |
| 10.2 Documented system includes the records to be kept to demonstrate compliance | | | |
| **11. Inventory Control/Traceability (4.10)** | | | |
| 11.1 Documented system covers traceability from catching to dispatch | | | |
| 11.2 Documented system provides a coding system that can provide adequate traceability | | | |
| **12. Receiving of Raw Materials and Ingredients (4.7.1)** | | | |
| 12.1 Documented system covering checks on incoming fish (who, what, how and when) | | | |
| **13. Process Controls (4.3.3)** | | | |
| 13.1 Documented system covering specific process controls, limits and checks to ensure safety of the product e.g. times, temperatures | | | |
| **14. Separation of EU products (4.3.4)** | | | |
| 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 Activity**<br>(NC or acceptable): | | | |
| **CA Officer(s) Name and Signature:** | | **Date/Time:** | |
| **FBO Representative Name and Signature:** | | **Date/Time:** | |

**F07 - Verification of conditions and systems on offshore vessels**

| **Applies to vessels holding fish for more than 24 hrs** | |
|---|---|
| *Based on directives and regulations CE/178/2002, 852/2004, 853/2004, 2017/625, National Food Safety Act, amendments and Regulations and Vessel Standards* | |
| **Vessel name:**<br>**Registration Number:**<br>**Permit number:** | **Approval Number:** |
| **Verification Officers** | **Establishment representative(s);** |
| | |
| **Verification harbour** | **Date and time of verification** |
| **References consulted:** | |
| • National Food Safety Act<br>• Food Safety (Fishery Products) Regulations<br>• Tuvalu Competent Authority National Control Plan<br>• Tuvalu Vessel Standards | |
| Type of vessel: [ ] Freezer [ ] Brine [ ] RSW [ ] Ice | |

***mi=Minor, Ma=major, Se= Serious, Cr= Critical***

| **Element to verify** | **mi** | **m** | **Se** | **Cr** | **Comments** |
|---|---|---|---|---|---|
| **Construction and material** | | | | | |
| **1. Contact surfaces and utensils** | | | | | |
| 1.1 Designed, constructed and maintained to facilitate hygiene?[7] | [ ] | [ ] | [ ] | | |
| 1.2 Minimize the potential for cross contamination from crew activities? | | [ ] | [ ] | | |
| 1.3 Bilge water, fuel etc do not allow for contamination of product from engine? | | | [ ] | [ ] | |
| 1.4 Fish hold in good general condition of cleanliness, hygiene and maintenance? | [ ] | [ ] | [ ] | | |
| 1.5 Products protected from direct sunlight | [ ] | [ ] | | | |
| 1.6 Potable or CSW used for cleaning? | | | [ ] | | |

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

| Element to verify | mi | m | Se | Cr | Comments |
|---|---|---|---|---|---|
| **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 pest control** | | | | | |
| 3.1 Effectiveness assessed against presence of pest and pest? | | [ ] | [ ] | | |
| **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? | | | [ ] | | |
| 4.4 Ice originated from a controlled provider or made from clean seawater? | | | [ ] | | |
| **5. Receiving Area** | | | | | |
| 5.1 Area has adequate space and 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, easy to clean, sufficient and separate hold for sub-products | [ ] | [ ] | [ ] | | |
| 6.2 Capacity: Be capable of chilling or freezing for capacity required | | [ ] | [ ] | | |

| Element to verify | mi | Ma | Se | Cr | Comments |
|---|---|---|---|---|---|
| 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 including Brine Automatic temperature recording device that is easily readable for each hold? | | | | [ ] | |
| 6.7 Cooling capacity Able to maintain fish at required temperature?[8] | | | [ ] | [ ] | |
| 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?[9] | [ ] | [ ] | [ ] | | |
| 7.4 First aid kit contains impermeable dressings for cuts and sores? | [ ] | [ ] | | | |
| **8 Additives** | | | | | |
| 8.1 Salt used for brine has supplier's guarantees for its purpose? | | [ ] | | | |
| **9 Common crew areas[10]** | | | | | |
| 9.1 Good general conditions of cleanliness, hygiene and maintenance? | [ ] | [ ] | [ ] | | |

[8] **Fresh:** towards melting ice (< 4 C°). **Frozen:** -18C°. **Brine** -9C°

[9] Hygienic behaviours include: Hand washing. No eating, drinking, smoking, spitting, salivating in processing areas.

[10] Galley, toilets, bunks, etc.

| Element to verify | mi | Ma | Se | Cr | Comments |
|---|---|---|---|---|---|
| ***Specific requirements for Vessels listed for direct export*** | | | | | |
| **10. Hygiene control system** | | | | | |
| 10.1 Satisfactory conditions? Is cleaning effectiveness verified? | [ ] | [ ] | [ ] | | |
| 10.2 Sufficient in number for crew? | | [ ] | | | |
| **11. Maintenance** | | | | | |
| 11.1 Includes responsible, records and timeframes? | [ ] | [ ] | [ ] | | |
| 11.2 Verification proves effectiveness of the control system? | [ ] | [ ] | [ ] | | |
| **12. Goods reception and storage**[11] | | | | | |
| 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 trained personnel available? | | [ ] | [ ] | | |
| 13.2 Good hygiene and HACCP manual in place and available on board? | | | [ ] | [ ] | |
| 13.3 HACCP plan effectively implemented? | | | [ ] | [ ] | |
| **14. Parasites control**[12] | | | | | |
| 14.1 Includes visual inspection, removal and or freezing to <-20C° for 24hs? | | | [ ] | | |
| **15. Traceability and Product recall** | | | | | |
| 15.1 Adequate records to allow for traceability | | [ ] | [ ] | | |
| **General Comments** | | | | | |

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

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

| Element to verify | mi | Ma | Se | Cr | Comments |
|---|---|---|---|---|---|
| **Outcome of Verification Activity**<br>**Rating A, B, C or D (or other please specify):** | | | | | |
| **CA Officer(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:**<br>**Country of Registration:**<br>**License No:**<br>**License state:** | **Registration No:**<br>**EU Approval No:**<br>**Flag State:** |
| **Verification officer(s):** | **FBO representative(s):** |
| **Verification harbour:** | **Date and time of verification:** |
| Total fuel tank capacity<br><br>Engine efficiency | **Comments:** |
| 1. Total no of fish holds?<br>Any containing fuel during the inspection? | |
| 2. Volume of fuel on board and where? | |
| 3. Duration of the latest fishing trip? | |
| 4. Fuel documents/invoice/bunkering receipts/customs bond/ bunkering permits verified? Any other form of documentation that records fuel storage and usage on board?<br>• Marpol book sited? | |
| 5. Submersible pump on board? | |
| 6. Estimated length of fishing trip? | |
| **General Comments** | |

**Verifiers name and signature:**
**and signature:**
**Date:**

**FBO representative name**

**Date:**

**F08 - Verification of conditions for coastal vessels and ice boats**

| **Applies to vessels holding fish for less than 24 hrs** | |
|---|---|
| *Based on directives and regulations CE/178/2002, 852/2004, 853/2004, 2017/625, National Food Safety Act, amendments and Regulations and Vessel Standards* | |
| **Vessel name:**<br>**Permit number:**<br>**Registration number:** | **Approval Number:** |
| **Verification Officers** | **Establishment representative** |
| **Verification harbour:** | **Date and time of verification:** |
| **References consulted:** | |
| • National Food Safety Act<br>• Food Safety (Fishery Products) Regulations<br>• Tuvalu Competent Authority National Control Plan<br>• Tuvalu Vessel Standards | |

***mi= minor*** ***Ma= major*** ***Se= Serious*** ***Cr=Critical***

| **Element to verify** | **mi** | **Ma** | **Se** | **Cr** | **Comments** |
|---|---|---|---|---|---|
| **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? | | [ ] | [ ] | [ ] | |

| Element to verify | mi | Ma | Se | Cr | Comments |
|---|---|---|---|---|---|
| **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**<br>**Rating A, B, C or D (or other please specify):** | | | | | |
| **CA Officer(s) Name and Signature:** | | **Date/Time:** | | | |
| **FBO Representative Name and Signature:** | | **Date/Time:** | | | |

**F11 - Verification of traceability**

| *Based on directives and regulations CE/178/2002, 852/2004, 853/2004, 2017/625, National Food Safety Act, amendments and Regulations and Vessel Standards* | |
|---|---|
| **Name of the vessel:** | **Approval Number:** |
| **Verification Officers:** | **Representative of the vessel:** |
| | |
| **Date and time of verification:** | |
| **Type of product:** | **Identification/marks/codes:** |

***S**=Satisfactory* ***NS**= Not satisfactory*

| **Element to verify** | **S** | **NS** | **Comments** |
|---|---|---|---|
| **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 formalised 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? | | | |
| | | | |
| **General Comments** | | | |
| **Outcome of the verification: S/NS** | | | |
| **CA Officer(s) Name and Signature:** | | **Date/Time:** | |
| **FBO Representative Name and Signature:** | | **Date/Time:** | |

**F12 – Organoleptic and Parasite evaluation**

| **Name of the vessel:** | **Approval number:** |
|---|---|
| **Verification Officers:** | **Representatives of the vessel:** |
| | |
| **Type of product:** | **Identification/marks/codes:** |
| **Processing stage:**<br>**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 | | | | | | |
| **Texture** | **3** | **2** | **1** | **0** | | |
| Response to finger pressure | | | | | | |
| **Total Average** | | | | | | |
| **Freshness index** | | | | | | |

| From 3 to 2.7 = A | **Observations** |
|---|---|
| From 2.7 to 2 = B | |
| From 2 to 1.5 = C | |
| From 1.5 to 0 = R | |
| **Parasite check: present/absent?** | |

| **Auditor Initials/Date/Time:** | **Company Initials/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<br><br>No change in original colour | Velvety, waxy, dull<br><br>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:** | **Approval Number:** |
|---|---|
| **CA Officers:** | **Representatives of the vessel:** |
| | |

| **Source Verification Record:** | | | | | **Date of Verification:** | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| **Mi/ma /Se/ Cr** | **FO Ref** | **IS Ref** | **Issue** | **Required action** | **Timeframe** | **Yes/No?** | **Extension? And reason** | **Comments** | **Signature** | **Date/Time** |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |

| **Verifiers name and signature:** | **Representative name and signature** [13] |
|---|---|
| **Date/Time:** | **Date/Time:** |

[13] Representative of the establishment accepting results of evaluation

## F15 – CA Officers Training Record

| | |
|---|---|
| **Name of CA Officer:** | |
| **Commencement Date as CA Officer:** | |

**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 |
|---|---|---|---|
| | | | |
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**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** |
| | | | | | |

Updated Issue Date: _____

Approval Signature: _____

**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:** _____

**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. XXXX Limited:

| *Month* | *Inspection outcome: PC* | *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:* | | | | | | |

*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 & 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 & 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 & 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 | | | | |

| ***Section of NCP/CA Manual*** | ***Outcome of Document Review*** | ***Outcome of Record Review*** *(where appropriate)* | | ***Corrective Action (if any)*** |
|---|---|---|---|---|
| | | ***Date of Record Reviewed*** | ***Findings*** | |
| ***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:**_____

**Auditor Name:** _____

**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**<br><br>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:<br>Contact Address: | | | |
| **Production codes** (if appropriate) | | | | |
| **Product type/description** | | | | |
| **Customer:** | Tuvalu Competent Authority | | | |
| **Address:** | | | | |
| **Customer Id:** | Tuvalu-CA | **Contact Person:** | | |
| **Phone:** | | **E mail:** | | |

**Details of Sampling:**

| Sample No. | Sample Identification/Type | Analyses Required: | Second Analyses Required (if applicable): please state |
|---|---|---|---|
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|---|---|
| Submitted: | Received By: |
| Date: | Date: |
| Date Report Received: | Report Ref.No.: |
| Reviewed By:_____ | Outcome of Review: Acceptable/Not Acceptable |

**F22 – List of CA Equipment**

| *Item* | *Serial No.* | *Description* |
|---|---|---|
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**F23 – Calibration Record**

| *Item* | *Serial No.* | *Type of Calibration*<br>*(annual/ice point)* | *Calibration Date* | *Reading* | *Corrective Action* | *User (if used on the same day it is calibrated)* | *Signature* |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
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**F24: Official Laboratory Assessment Criteria**

| **Laboratory Name:** | **CA Officer** |
|---|---|
| **Virtual Address:** | |
| **Sample type tested:**<br>Food Water Other | **Scope of Testing**<br>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[14] are in place under which the competent authorities are enabled to perform assessments referred to in Article 39(1)[15] 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[16]. | | | |
| **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** |
| 2.1.1 Has the expertise, equipment and infrastructure required to carry out analysis or test or diagnosis on samples. | | | |

[14] MOU of Service Level arrangements of similar

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

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

| | | | |
|---|---|---|---|
| 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** | |

## 18.4 APPLICATION FORMS AND HEALTH CERTIFICATES

### 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/Vessel Address(es) and Contact Details:** | |
| Only complete if the Processing establishment/vessel 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 |
| | [ ] Landing site |
| **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 a Tuvalu 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 Tuvalu 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 the Tuvalu CA as the Competent Authority (CA), and | |
| (f) I accept that the obtaining of this registration is conditional to a positive outcome of a 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 ongoing 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 | |
| **Name:** | **Date:** |
| **Designation:** | **Signature:** |
| Attachments:<br>Product flow diagram<br>HACCP plan<br>Equipment and Facilities details | <br>Site plan<br>Supporting programmes<br>Details of services (water, power etc.) |
| *Notes Section 1:*<br>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.<br>In case the applicant holds identification as an exporter to the EU under prior verification regimes, this ID would be maintained. | |
| **Official Use Only**:<br>Approved/Not approved:<br>Date:<br>Signed:<br>Tuvalu CA Stamp: | |

## F25B - AMENDMENTS TO APPROVAL DETAILS FORM

| **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. | | |
| Legal 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*<br>[ ] *Off Shore*<br>[ ] *Reefer* |
| [ ] Fishing Vessel | | |
| [ ] Cold Store | [ ] Cold Store | |
| | [ ] Ice Factory | |
| | [ ] Transporters | |
| | [ ] Landing site | |

| **Type of Product**<br>[ ] Wild Caught [ ] *Fresh/Frozen*<br>[ ] *Smoked* [ ] *Conserved* | Others: *(specify)* |
|---|---|
| Markets sought:<br>[ ] EU [ ] Other (see over) | Others: *(specify)* |
| **Official Use Only**:<br>Approved/Not approved:<br>Date:<br>Signed:<br>Tuvalu CA Stamp: | |

**F26 APPLICATION FORM – VESSEL INTENDING TO EXPORT TO THE EU OR WISHING TO GAIN HEALTH CERTIFICATES**

| **Vessel Data Sheet** | | | | **F26** |
|---|---|---|---|---|
| Date: | | Inspection Place: | | |
| Time Spent on Inspection | | From: | To: | Hours: |
| | | | | |

| **Vessel Details** | | | |
|---|---|---|---|
| Vessel Name: | | Registration Number: | |
| Flag Country: | | Inspection Ref.: | |
| Vessel Approval Reference Number: | | Vessel Approval Date: | |
| Vessel Owner: | | | |
| Name: | | Telephone: | |
| Address: | | | |
| Quality Manager: | | | |
| Name: | | Number of Crew: | |
| Vessel Type | [ ] Transport [ ] Factory [ ] RSW [ ] Ice [ ] Brine [ ] Freezer | | |
| Fishing Methods | (A vessel can have multiple fishing methods) | | |
| | Type 1: Trawler | | |
| | Type 2: Long line | | |
| | Type 3: Pole and line | | |
| | Type 4: Purse seiners | | |
| | Type 5: Gill netting | | |
| | Type 6: Deep Sea Fishing | | |
| | Type 7: Other (Please specify): | | |

## F29 HEALTH CERTIFICATE EXPORT INFORMATION FORM

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

Destination of Export (please circle): European Union Non-European Union

| | | | |
|---|---|---|---|
| I.1. Consignor<br>Name<br>Address<br>Postal code<br>Tel. No. | | I.5. Consignee<br>Name<br>Address<br>Postal Code<br>Tel. No. | |
| I.7. Country of origin ISO Code | I.8. *Region of origin* Code | I.9. Country of destination | ISO Code<br>I.10. |
| I.11. Place of origin<br>Name: Approval number:<br>Address: | | I.12. | |
| I.13. Place of loading | | I.14. Date of departure | |
| I.15. Means of transport (please circle)<br>Aeroplane Ship Railway wagon<br>Road vehicle Other (please specify)<br>Identification:<br>Documentary references | | I.16. Entry BIP in EU<br>I.17. | |
| I.18. Description of commodity | | I.19. Commodity code (HS code) | I.20. Quantity |
| I.21. Temperature of product (please circle)<br>Ambient Chilled Frozen Brine Frozen | | | I.22. Number of packages |
| I.23. Identification of container and seal number | | | I.24. Type of packaging |
| I.25. Commodities certified for:<br>Human consumption ☐ | | | |
| I.26. | | I.27. For import or admission into EU ☐ | |

I.28. Identification of the commodities

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

**F30 REQUEST TO CHANGE/RE-ISSUE EXPORT HEALTH CERTIFICATE INFORMATION**

| **Application Form: Health Certificate Information** | | **F30** |
|---|---|---|
| **Original Health Certificate Ref. No.:** | | |
| **Change/Re-issue Required:**<br>**(Please be as specific as possible giving actual replacement information required). Tuvalu CA reserves the right to refuse the re-issue of a health certificate** | | |
| | | |
| **Company Justification for Change:** | | |
| | | |
| **FOR TUVALU 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 Mr. Alipate Momoka

E-mail: josuamomokanasoi@gmail.com

**GENERAL HEALTH CERTIFICATE**

Government of Tuvalu

Department of Fisheries

Ministry of Fisheries and Trade, Tuvalu

**COMPETENT AUTHORITY**

# GENERAL HEALTH CERTIFICATE

Date:

**Part I: Details of dispatched consignment**

| | | | |
|---|---|---|---|
| 1.1 Consignor:<br>Address:<br>Contact No.:<br>Fax No.:<br>Email : | | | 1.2 Certificate Reference No.: |
| 1.5 Consignee:<br>Address:<br><br>Contact No.: Fax No.:<br>Email: | | | |
| 1.3 Country of origin: | 1.4 Region of Origin: | | 1.5 Country & Place of destination: |
| 1.6 Place of origin<br>Name: Approval Number:<br>Address: | | | 1.7 Place of loading:<br>1.8 Date of departure: |
| 1.10 Means of Transport<br>Aeroplane ☐ Ship ☐<br>Road vehicle ☐ Others ☐<br><br>Documentation references:<br>Invoice No.:<br>Airway Bill No.:<br>Histamine Analysis Report: | | | 1.9 Quantity (weight):<br>1.11 Number of packages:<br>1.12 Fish Lot Code(s) or Production Dates: |
| 1.13 Temperature of product<br>☐ Ambient ☐ Chilled ☐ Frozen | | | |
| 1.14 Container/Seal Number (if appropriate): | | | |
| 1.15 Commodities certified for:<br>Human consumption ☐ | | | |
| 1.16 For import admission to (name country):: ☐ | | | |

| Description of product | Species (scientific name) | Nature of commodity | Manufacturing Plant | Type of packaging | Number of packages | Net wei |
|---|---|---|---|---|---|---|
| | | | | | | |
| | | | | | | |
| | | | | | | |

**Part II: Certification**

**II. Health Attestation**

The undersigned certifying officer hereby certifies that:

a. the fish were processed in a premises approved by and under the control of the Tuvalu Competent Authority;
b. come from establishment implementing a programme based on the HACCP principles
c. have been caught, landed, where appropriate packaged, handled, marked, prepared, processed, frozen, thawed, store a transported under conditions laid down in the Food Safety Regulations laying down the health conditions for production and the placing on the market of fishery products
d. have undergone health controls;
e. do not come from toxic species or species containing biotins; accordance with the requirements laid down by Competen Authority.
f. the fish were wild caught and not grown or harvested in an aquaculture system at any stage
g. the consignment does not contain any other product species
h. the fish is intended for human consumption only, not intended for aquaculture, bait, animal feed or fertilizer.

Official Inspector

Name: Qualification and title:

Date : Signature:

Stamp:

Ph:
Fax:
E-mail:

## EU HEALTH CERTIFICATE


**Government of Tuvalu**
**Department of Fisheries**
**Ministry of Fisheries and Trade email: josuamomokanasoi@gmail.com**

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

| **COUNTRY** | | | **Animal health/Official certificate to the EU** | | |
|---|---|---|---|---|---|
| **Part I: Description of consignment** | **I.1** | **Consignor/Exporter**<br>Name<br>Address<br>Country ISO country code | **I.2** | **Certificate reference** | **I.2a IMSOC reference** |
| | | | **I.3** | **Central Competent Authority** | **QR CODE** |
| | | | **I.4** | **Local Competent Authority** | |
| | **I.5** | **Consignee/Importer**<br>Name<br>Address<br>Country ISO country code | **I.6** | **Operator responsible for the consignment**<br>Name<br>Address<br>Country ISO country code | |
| | **I.7** | **Country of origin** ISO country code | **I.9** | **Country of destination** ISO country code | |
| | **I.8** | **Region of origin** Code | **I.10** | **Region of destination** Code | |
| | **I.11** | **Place of dispatch**<br>Name Registration/Approval No<br>Address<br>Country ISO country code | **I.12** | **Place of destination**<br>Name Registration/Approval No<br>Address<br>Country ISO country code | |
| | **I.13** | **Place of loading** | **I.14** | **Date and time of departure** | |
| | **I.15** | **Means of transport**<br>☐ Aircraft ☐ Vessel<br>☐ Railway ☐ Road vehicle<br>Identification | **I.16** | **Entry Border Control Post** | |
| | | | **I.17** | **Accompanying documents**<br>Type Code<br>Country ISO country code<br>Commercial document reference | |
| | **I.18** | **Transport conditions** ☐ Ambient | ☐ Chilled | ☐ Frozen | |
| | **I.19** | **Container number/Seal number**<br>Container No Seal No | | | |
| | **I.20** | **Certified as or for**<br>☐ Products for human consumption ☐ Canning industry ☐ Further processing<br>☐ Live aquatic animals for human consumption | | | |
| | **I.21** | ☐ **For transit**<br>Third country ISO country code | **I.22** | ☐ **For internal market** | |
| | | | **I.23** | | |

| I.24 **Total number of packages** | I.25 **Total quantity** | I.26 **Total net weight/gross weight (kg)** |
|---|---|---|

| I.27 **Description of consignment** | | | | |
|---|---|---|---|---|
| CN code | Species | | | |
| | Cold store | Identification mark | Type of packaging | Net weight |
| | Treatment type | Nature of commodity | Number of packages | Batch No |
| ☐ Final consumer | Date of collection/production | Manufacturing plant | | |

**COUNTRY** **Certificate model FISH-CRUST-HC**

| Part II: Certification | II. Health information | II.a Certificate reference | II.b IMSOC reference |
|---|---|---|---|

**II.1.** [1]**Public health attestation** [to be deleted when the Union is not the final destination of the live fish, live crustaceans or products of animal origin from those animals]

I, the undersigned, declare that I am aware of the relevant requirements of Regulation (EC) No 178/2002 of the European Parliament and of the Council[A], Regulation (EC) No 852/2004 of the European Parliament and of the Council[B], Regulation (EC) No 853/2004 of the European Parliament and of the Council and Regulation (EU) 2017/625 of the European Parliament and of the Council and hereby certify that the fishery products described in Part I were produced in accordance with these requirements, in particular that they:

(a) have been obtained in the region(s) or country(ies) ..... which, at the date of issue of this certificate is/are authorised for entry into the Union of fishery products and in Annex IX to Commission Implementing Regulation (EU) 2021/405[C];

(b) come from (an) establishment(s) applying general hygiene requirements and 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, regularly audited by the competent authorities, and being listed as an EU approved establishment;

(c) 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;

(d) have not been stored in holds, tanks or containers used for other purposes than the production and/or storage of fishery products;

(e) 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[D];

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A 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).

B 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).

C Commission Implementing Regulation (EU) 2021/405 of 24 March 2021 laying down the lists of third countries or regions thereof authorised for the entry into the Union of certain animals and goods intended for human consumption in accordance with Regulation (EU) 2017/625 of the European Parliament and of the Council (OJ L 114, 31.3.2021, p. 118).

D Commission Regulation (EC) No 2073/2005 of 15 November 2005 on microbiological criteria for foodstuffs (OJ L 338, 22.12.2005, p. 1).

**COUNTRY** **Certificate model FISH-CRUST-HC**

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

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

(h) fulfil the guarantees covering live animals and products thereof, if of aquaculture origin, provided by the residue plans submitted in accordance with Article 29 of Council Directive 96/23/EC[E], and the concerned animals and products are listed in Commission Decision 2011/163/EU[F] for the concerned country of origin;

(i) have been produced under conditions guaranteeing compliance with the maximum levels for contaminants laid down in Commission Regulation (EC) No 1881/2006[G];

(j) have satisfactorily undergone the official controls laid down in Articles 67 to 71 of Commission Implementing Regulation (EU) 2019/627[H].

[2][II.2. **Animal health attestation for live fish and live crustaceans of [3]listed species intended for human consumption and products of animal origin from those aquatic animals intended for further processing in the Union before human consumption, excluding live fish and live crustaceans and their products landed from fishing vessels**

II.2.1. According to official information, the [4][aquatic animals referred to in Box I.27 of Part I] [4][products of animal origin from aquatic animals other than live aquatic animals referred to in Box I.27 of Part I, have been obtained from animals which] meet the following animal health requirements:

II.2.1.1. They originate from [4][an establishment] [4][a habitat] which is not subject to national restriction measures for animal health reasons or because of the occurrence of abnormal mortalities with an undetermined cause, including the relevant listed diseases referred to in Annex I to Commission Delegated Regulation (EU) 2020/692[I] and emerging diseases;

II.2.1.2. The [4][aquatic animals are not intended to be killed] [4][products of animal origin from aquatic animals other than live aquatic animals, have been obtained from animals which were not intended to be killed] under a national programme for the eradication of diseases, including the relevant listed diseases referred to in Annex I to Delegated Regulation (EU) 2020/692 and emerging diseases.

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E 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).

F Commission Decision 2011/163/EU of 16 March 2011 on the approval of plans submitted by third countries in accordance with Article 29 of Council Directive 96/23/EC (OJ L 70, 17.3.2011, p. 40).

G Commission Regulation (EC) No 1881/2006 of 19 December 2006 setting maximum levels for certain contaminants in foodstuffs (OJ L 364, 20.12.2006, p. 5).

H 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).

I Commission Delegated Regulation (EU) 2020/692 of 30 January 2020 supplementing Regulation (EU) 2016/429 of the European Parliament and of the Council as regards rules for entry into the Union, and the movement and handling after entry of consignments of certain animals, germinal products and products of animal origin (OJ L 174, 3.6.2020, p. 379).

COUNTRY

Certificate model FISH-CRUST-HC

[4] [II.2.2. The [4][aquaculture animals referred to in Box I.27 of Part I] [4][products of animal origin from aquaculture animals other than live aquaculture animals referred to in Box I.27 of Part I, have been obtained from animals which] meet the following requirements:

II.2.2.1. They come from an aquaculture establishment which is [4][registered] [4][approved] by, and under the control of, the competent authority of the third country or territory of origin and which has a system in place to maintain and to keep for at least 3 years, up-to-date records containing information regarding:

(i) the species, categories and number of aquaculture animals on the establishment;

(ii) movements of aquatic animals into, and aquaculture animals out of, the establishment;

(iii) mortality in the establishment;

II.2.2.2. They come from an aquaculture establishment which receives regular animal health visits from a veterinarian for the purpose of the detection of, and information on, signs indicative of the occurrence of diseases, including the relevant listed diseases referred to in Annex I to Delegated Regulation (EU) 2020/692 and emerging diseases, at a frequency that is proportionate to the risk posed by the establishment.]

**II.2.3. General animal health requirements**

The [4][aquatic animals referred to in Box I.27 of Part I] [4][products of animal origin from aquatic animals other than live aquatic animals referred to in Box I.27 of Part I], have been obtained from animals which meet the following animal health requirements:

[4][6][II.2.3.1. They are subject to the requirements in Part II.2.4 and they originate from a [4][country] [4][territory] [4][zone] [4][compartment] with [5]code:_ - __ which, at the date of issue of this certificate, is listed in Part 1 of Annex XXI to Commission Implementing Regulation (EU) 2021/404[J] for the entry into the Union of [4][aquatic animals] [4][products of animal origin from aquatic animals other than live aquatic animals];]

[4][6][II.2.3.2. They are aquatic animals which have undergone clinical inspection by an official veterinarian within a period of 72 hours prior to the time of loading. During the inspection, the animals showed no signs of transmissible disease and, according to the relevant records of the establishment, there was no indication of disease problems;]

▶ [1] II.2.3.3. They are aquatic animals which are dispatched directly from the place of origin to the Union; ◀

II.2.3.4. They have not been in contact with aquatic animals of a lower health status.

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J Commission Implementing Regulation (EU) 2021/404 of 24 March 2021 laying down the lists of third countries, territories or zones thereof from which the entry into the Union of animals, germinal products and products of animal origin is permitted in accordance with Regulation (EU) 2016/429 of the European Parliament and of the Council (OJ L 114, 31.3.2021, p. 1).

**COUNTRY** **Certificate model FISH-CRUST-HC**

either(4)(6) **[II.2.4. Specific health requirements**

(4) **[II.2.4.1 Requirements for (3)listed species for Epizootic haematopoietic necrosis, Infection with Taura syndrome virus, Infection with yellow head virus**

The (4)[aquatic animals referred to in Box I.27 of Part I] (4)[products of animal origin from aquatic animals other than live aquatic animals referred to in Box I.27 of Part I have been obtained from animals which] originate from a (4)[country] (4)[territory] (4)[zone] (4)[compartment] declared free from (4)[Epizootic haematopoietic necrosis] (4)[Infection with Taura syndrome virus] (4)[Infection with yellow head virus] in accordance with conditions which are at least as stringent as those laid down in Article 66 or in Article 73(1) and Article 73(2), point (a), of Commission Delegated Regulation (EU) 2020/689[K] and in the case of aquatic animals, all (3)listed species for the relevant disease(s):

(i) are introduced from another country, territory, zone or compartment which has been declared free from the same disease(s);

(ii) are not vaccinated against (4) [that] (4) [those] disease(s).]

(4)(7)**[II.2.4.2. Requirements for (3)listed species for Viral haemorrhagic septicaemia (VHS), Infectious haematopoietic necrosis (IHN), infection with HPR-deleted infectious salmon anaemia virus (ISAV) or infection with White spot syndrome virus**

The (4)[aquatic animals referred to in Box I.27 of Part I] (4) [products of animal origin from aquatic animals other than live aquatic animals referred to in Box I.27 of Part I, have been obtained from animals which] originate from a (4)[country] (4)[territory] (4)[zone] (4)[compartment] declared free from (4)[Viral haemorrhagic septicaemia (VHS)] (4)[Infectious haematopoietic necrosis (IHN)] (4)[Infection with HPR-deleted infectious salmon anaemia virus (ISAV)] (4)[infection with White spot syndrome virus] in accordance with Part II, Chapter 4, of Delegated Regulation (EU) 2020/689 and in the case of aquatic animals, all (3)listed species for the relevant disease(s):

(i) are introduced from another country, territory, zone or compartment which has been declared free from the same disease(s);

(ii) are not vaccinated against (4)[that] (4)[those] disease(s).]

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K Commission Delegated Regulation (EU) 2020/689 of 17 December 2019 supplementing Regulation (EU) 2016/429 of the European Parliament and of the Council as regards rules for surveillance, eradication programmes, and disease-free status for certain listed and emerging diseases (OJ L 174, 3.6.2020, p. 211).

COUNTRY

Certificate model FISH-CRUST-HC

[4][8][II.2.4.3. **Requirements for [9]species susceptible to infection with Spring viraemia of carp (SVC), Bacterial Kidney disease (BKD), infection with Infectious pancreatic necrosis virus (IPN), infection with Gyrodactylus salaris (GS), infection with Salmonid alphavirus (SAV) and [3] species susceptible to Koi herpes virus disease (KHV)**

The [4][aquatic animals referred to in Box I.27 of Part I] [4][products of animal origin from aquatic animals other than live aquatic animals referred to in Box I.27 of Part I have been obtained from animals which ] originate from a [4][country] [4][territory] [4][zone] [4][compartment] which fulfils the health guarantees as regards [4][SVC], [4][BKD], [4][IPN], [4][GS], [4][SAV], [4][KHV], which are necessary to comply with the national measures which apply in the Member State of destination in accordance with Article 175 of Commission Delegated Regulation (EU) 2020/692, and for which the Member State or part thereof, is listed in [4][Annex I] [4][Annex II] to Commission Implementing Decision (EU) 2021/260[L].]]

or [4][6][**II.2.4. Specific health requirements**

The [4][aquatic animals referred to in Box I.27 of Part I] [4][products of animal origin from aquatic animals other than live aquatic animals referred to in Box I.27 of Part I have been obtained from animals which] are destined for an disease control aquatic food establishment within the Union which is approved in accordance with Article 11 of Commission Delegated Regulation (EU) 2020/691[M], where they are to be processed for human consumption.]

**II.2.5.** To the best of my knowledge, and as declared by the operator, the [4][aquatic animals referred to in Box I.27 of Part I] [4][products of animal origin from aquatic animals other than live aquatic animals referred to in Box I.27 of Part I have been obtained from animals which] originate from [4][an establishment] [4][a habitat] where:

(i) there were no abnormal mortalities with an undetermined cause; and
(ii) they have not been in contact with aquatic animals of [3]listed species which did not comply with the requirements referred to in point II.2.1.

**II.2.6. Transport requirements**

Arrangements have been made to transport the aquatic animals referred to in Box I.27 of Part I in accordance with the requirements set out in Articles 167 and 168 of Delegated Regulation (EU) 2020/692 and specifically that:

II.2.6.1. when the animals are transported in water, the water in which they are transported is not changed in a third country or territory, zone or compartment which is not listed for entry of the particular species and category of aquatic animals into the Union;

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L Commission Implementing Decision (EU) 2021/260 of 11 February 2021 approving national measures designed to limit the impact of certain diseases of aquatic animals in accordance with Article 226(3) of Regulation (EU) 2016/429 of the European Parliament and of the Council and repealing Commission Decision 2010/221/EU (OJ L 59, 19.2. 2021, p. 1).

M Commission Delegated Regulation (EU) 2020/691 of 30 January 2020 supplementing Regulation (EU) 2016/429 of the European Parliament and of Council as regards rules for aquaculture establishments and transporters of aquatic animals (OJ L 174, 3.6.2020, p. 345).

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II.2.6.2. the animals are not transported under conditions that jeopardise their health status, in particular:

(i) when the animals are transported in water, it does not alter their health status;

(ii) the means of transport and the containers are constructed in such a way that the health status of the aquatic animals is not jeopardised during transportation;

(iii) the (4)[container] (4)[well-boat] is (4)[previously unused] (4)[cleaned and disinfected in accordance with a protocol and with products approved by the competent authority of the (4)[third country] (4)[territory] of origin, prior to loading for dispatch to the Union];

▶(1) II.2.6.3. from the time of loading at the place of origin until the time of arrival in the Union, the animals in the consignment are not transported in the same water or (4)[container] (4)[well-boat] together with aquatic animals which are of a lower health status or which are not intended for entry into the Union; ◀

II.2.6.4. where a water exchange is necessary in a (4)[country] (4)[territory] (4)[zone] (4)[compartment] which is listed for entry of the particular species and category of aquatic animals into the Union, it only occurs (4)[in the case of transport on land, at water exchange points approved by the competent authority of the (4) [third country] (4)[territory] where the water exchange takes place] (4)[in the case of transport by well-boat, at a distance which is at least 10 km from any aquaculture establishments which are located en-route from the place of origin to the place of destination in the Union].

**II.2.7. Labelling requirements**

II.2.7.1. Arrangements have been made to identify and label the (4)[means of transport] (4)[containers] in accordance with Article 169 of Delegated Regulation (EU) 2020/692 and specifically that the consignment is identified by (4)[a legible and visible label on the exterior of the container] (4)[an entry in the ships manifest when transported by well boat,] which clearly links the consignment to this animal health/official certificate;

(4)[II.2.7.2. In the case of aquatic animals, the legible and visible label referred to in point II.2.7.1. contains at least the following information:

(a) the number of containers in the consignment;

(b) the name of the species present in each container;

(c) the number of animals in each container for each of the species present;

(d) a statement saying: (4)['live fish intended for human consumption in the European Union'] (4)['live crustaceans intended for human consumption in the European Union'].]

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▶ (1) (4)[II.2.7.3. In the case of products of animal origin from aquatic animals other than live aquatic animals, the legible and visible label referred to in point II.2.7.1. contains one of the following statements:

(a) 'fish intended for human consumption after further processing in the European Union';

(b) 'crustaceans intended for human consumption after further processing in the European Union'.]

(4) (10) **II.2.8. Validity of animal health/official certificate**

This animal health/official certificate shall be valid for the period of 10 days from the date of issue. In the case of transport by waterway/sea of aquatic animals, this period of 10 days may be extended by the duration of the journey by waterway/sea. ◀

**Notes**

In accordance with the Agreement on the withdrawal of the United Kingdom of Great Britain and Northern Ireland from the European Union and the European Atomic Energy Community, and in particular Article 5(4) of the Protocol on Ireland / Northern Ireland in conjunction with Annex 2 to that Protocol, references to European Union in this certificate include the United Kingdom in respect of Northern Ireland.

This certificate is intended for entry into the Union of live fish, live crustaceans and products of animal origin from those animals, including when the Union is not the final destination of such live aquatic animals and their products.

'Aquatic animals' are animals as defined in Article 4, point (3), of Regulation (EU) 2016/429 of the European Parliament and of the Council. 'Aquaculture animals' are aquatic animals which are subject to aquaculture as defined in Article 4, point (7), of Regulation (EU) 2016/429.

▶ (2) 'Further processing' means any type of measures and techniques, carried out before the placing on the market for human consumption, affecting anatomical wholeness, such as bleeding, evisceration, heading, slicing and filleting which produce waste or by-products which could cause a risk of disease spread. ◀

All aquatic animals and products of animal origin from aquatic animals other than live aquatic animals, to which Part II.2.4. of this certificate applies, must originate from a country/territory/zone/compartment which appears in column 2 of the table in Part 1 of Annex XXI to Implementing Regulation (EU) 2021/404.

Part II.2.4. of the certificate **does not apply** to the following crustaceans and fish, and they may therefore originate from a country or regions, which is listed in Annex IX to Implementing Regulation (EU) 2021/405:

(a) crustaceans which are packaged and labelled for human consumption in accordance with the specific requirements for those animals as set out in Regulation (EC) No 853/2004 and which are no longer able to survive as living animals if returned to the aquatic environment,

(b) crustaceans which are intended for human consumption without further processing, provided they are packaged for retail sale in compliance with the requirements for such packages as set out in Regulation (EC) No 853/2004,

(c) crustaceans which are packaged and labelled for human consumption in accordance with the specific requirements for those animals as set out in Regulation (EC) No 853/2004 and which are intended for further processing without temporary storage at the place of processing.

(d) fish which are slaughtered and eviscerated before dispatch.

This certificate applies to products of animal origin as well as to live aquatic animals including those destined for a disease control aquatic food establishment as defined in Article 4, point (52), of Regulation (EU) 2016/429 which are intended for human consumption in accordance with Section VII of Annex III to Regulation (EC) No 853/2004.

This animal health/official certificate shall be completed according to the notes for the completion of certificates provided for in Chapter 4 of Annex I to Implementing Regulation (EU) 2020/2235.

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**Part I:**

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 "Products for human consumption" or *"Further processing"* for the other cases.

Box reference I.27: 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.27: Description of consignment:
*"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.

▶(a) (2) Part II.2 of this animal health/official certificate shall not apply and shall be deleted when the consignment consists of: (a) species other than those listed in the Annex to Commission Implementing Regulation (EU) 2018/1882[N]; or (b) wild aquatic animals and products of animal origin from those aquatic animals which are landed from fishing vessels for direct human consumption; or (c) products of animal origin from aquatic animals, other than live aquatic animals, which are ready for direct human consumption without undergoing further processing in the Union. ◀

(3) Species listed in columns 3 and 4 in the table of the Annex to Implementing Regulation (EU) 2018/1882. Species listed in column 4 shall only be regarded as vectors under the conditions set out in Article 171 of Delegated Regulation (EU) 2020/692.

(4) Keep if appropriate/ delete if not applicable. In the case of Part II.2.4.1, deletion is not permitted if the consignment contains listed species for Epizootic haematopoietic necrosis, Infection with Taura syndrome virus or Infection with yellow head virus, other than in the circumstances referred to in footnote (6).

(5) Code of the third country/ territory/zone/compartment as it appears in column 2 of the table in Part 1 of Annex XXI to Implementing Regulation (EU) 2021/404.

(6) Parts II.2.3.1, II.2.3.2 and Part II.2.4. of this certificate do not apply and should be deleted if the consignment contains only the following crustaceans or fish:

(a) crustaceans which are packaged and labelled for human consumption in accordance with the specific requirements for those animals set out Regulation (EC) No 853/2004 and which are no longer able to survive as living animals if returned to the aquatic environment,

(b) crustaceans which are intended for human consumption without further processing, provided that they are packaged for retail-sale in compliance with the requirements for such packages set out in Regulation (EC) No 853/2004,

(c) crustaceans which are packaged and labelled for human consumption in compliance with the specific requirements for those animals set out in Regulation (EC) No 853/2004 and which are intended for further processing without temporary storage at the place of processing,

(d) fish which are slaughtered and eviscerated before dispatch.

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▶(a) N Commission Implementing Regulation (EU) 2018/1882 of 3 December 2018 on the application of certain disease prevention and control rules to categories of listed diseases and establishing a list of species and groups of species posing a considerable risk for the spread of those listed diseases (OJ L 308, 4.12.2018, p. 21). ◀

**COUNTRY** **Certificate model FISH-CRUST-HC**

| | |
|---|---|
| | (7) Applicable when the Member State of destination in the Union either has disease-free status for a category C disease as defined in Article 1, point (3), of Implementing Regulation (EU) 2018/1882, or is subject to an optional eradication programme established in accordance with Article 31(2) of Regulation (EU) 2016/429, otherwise delete.<br>(8) Applicable when the Member State of destination or part thereof, in the Union has approved national measures for a specific disease as listed in Annex I or Annex II to Commission Implementing Decision (EU) 2021/260[O], otherwise delete<br>(9) Susceptible species as referred to in the second column of the table in Annex III to Implementing Decision (EU) 2021/260.<br>▶[C1] (10) Shall apply only to the consignments of live aquatic animals.<br>(11) to be signed by:<br>— an official veterinarian when Part II.2. Animal health attestation is not deleted<br>— a certifying officer or an official veterinarian when Part II.2. Animal health attestation is deleted. ◀ |
| | **[Official veterinarian] [4][10]/ [Certifying officer][4][10]**<br>Name (in capital letters)<br>Date — Qualification and title<br>Stamp — Signature |

O Commission Implementing Decision (EU) 2021/260 of 11 February 2021 approving national measures designed to limit the impact of certain diseases of aquatic animals in accordance with Article 226(3) of Regulation (EU) 2016/429 of the European Parliament and of the Council and repealing Commission Decision 2010/221/EU (OJ L 59, 19.2.2021, p. 1).

HEALTH CERTIFICATE FOR THE PEOPLE'S REPUBLIC OF CHINA

# 图瓦卢输华水产品检验检疫证书


Government of Tuvalu
Department of Fisheries
Ministry of Fisheries and Trade email: josuamomokanasoi@gmail.com


COMPETENT AUTHORITY

## Health Certificate

**For fish and fishery products intended for export from Tuvalu 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<br>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 ***.

**HEALTH CERTIFICATE FOR CONSIGNMENT NOT FOR SALE**


**Government of Tuvalu**
**Department of Fisheries**

**Ministry of Fisheries and Trade. email: josuamomokanasoi@gmail.com**

This is to certify that Mr/Mrs/Ms
_____of

_____(local address) to carry a quantity of
_____(kg) of

_____(scientific name/species) into

_____(Destination) ONLY for HUMAN
CONSUMPTION.

The certificate is not transferable and is only for this specific consignment.

Approved _____Date: _____

Tuvalu Competent Authority

for Director of Fisheries

**CAPTAIN'S DECLARATION/HEALTH CERTIFICATE**

## Tuvalu Flag Vessel.

## Captain's Declaration/Health Certificate

**Certificate Number:**

| | |
|---|---|
| Fishing Vessel Name: | EU approval number |
| Fishing Vessel Trip Dates<br>Trip Start Date:<br><br>Trip End Date: | Fishing Vessel Flag:<br><br>IMO/L number:9764427 |
| Area Fish was Harvested: | Type of product(s):<br><br>Quantity (kg): |
| TRANSHIPMENT /OFFLOAD DATES: | TRANSHIPMENT/OFFLOAD PORT:<br><br>If offloaded into container:<br>• Container number(s):<br>• Seal number(s) |
| Port of Landing: | Destination: |

**Health Attestation**

I, _____as captain of the above named (print name) fishing vessel, hereby certify that:

- The vessel is approved and appears on the Tuvalu list of EU approved vessels;
- The vessel has a program based on HACCP principles in order to control hazards;
- The part of the vessel where fishery products are handled, equipment, containers and the cold storage for fishery products are kept in good hygienic conditions;
- The fishery products have been protected from contaminations and from the effects of the sun or any source of heat as soon as possible after they have been taken on board, and that they have been handled in a way that minimise bruising and other damage;
- The fishery products have never been at any time contaminated by fuel;

- Only clean seawater has been used as an alternative source of water on board vessel for handling and washing of fishery products and fish contact surfaces;
- The fishery products have been subjected to visual examination for the purpose of detecting visible parasite, fishery products that are obviously infected with parasite shall not be placed in the market for human consumption;

Captain of Fishing Vessel
Name (In Capital Letters) Signature
Date Stamp

*Note: A copy to be sent to the Tuvalu CA on email: josuamomokanasoi@gmail.com*

**CERTIFICATION RULING**

| *Fishing Vessel* | *EU Listed* | *Package* | *Transport (foreign flagged)* | *EU Listed* | *Additional Comments* | *Destination* | *Health Certificate Type* | *Comments* |
|---|---|---|---|---|---|---|---|---|
| Tuvalu flagged | YES | Bulk (separation net) | Carrier | NO | If landed in Tuvalu and Exported | Non-EU | National Health Certificate | No HACCP and no test, only HHC |
| | YES | Bulk (separation net) | Carrier | NO | Not going direct to EU | EU | Captain HC | If landed in another port. |
| | NO | Bulk (separation net) | Carrier | NO | Not currently relevant to Tuvalu | Non-EU | NO | No HC for Transhipment. |
| | NO | Bulk (separation net) | Carrier | NO | Not currently relevant to Tuvalu<br>Not going direct to EU | EU | HHC | |
| Tuvalu 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 Tuvalu | Non-EU | National Health Certificate | Subject to inspection of vessel records and container loading |
| | NO | Container | Container Ship | NO | Currently irrelevant in Tuvalu<br>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 | National Health Certificate | CA to sight unload from vessel and load into containers |
| | YES | Container | Container Ship | NO | Direct shipment to EU | EU | National Health 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 |

## 19. Some Key Considerations When Approving and Auditing Vessels

1. HACCP
   ASPECTS OF HACCP TO BE REVIEWED
   The engagement of the 12 steps
   - 5 preliminary steps
   - 7 principles

   With regard to PRPs, the focus should be on:

   - The general hygiene requirements laid down in Annex II of Regulation (EC) No 852/2004 for activities after primary production, GENERAL HYGIENE REQUIREMENTS FOR ALL FOOD BUSINESS OPERATORS, and
   - The specific hygiene requirements for food of animal origin laid down in Annex III of Regulation (EC) No 853/2004.SECTION VIII: FISHERY PRODUCTS

OFFICIAL CONTROLS OVER FACTORY, FREEZER AND REEFER VESSELS AND THE ORGANISATION OF OFFICIAL CONTROLS

The CA shall be aware and acknowledge that official controls on vessels, including their inspection, can be particularly challenging for a number of reasons. These can include:

a) the fact that, in practice, it is near impossible to inspect vessels and their records while in operation at sea;

b) practical difficulties in inspecting these vessels in port and their associated landing operations, particularly when they do not (or rarely) land and discharge fishery products in your territory;

c) the need to have staff (CA) suitably trained in identifying, locating and inspecting a wide variety of vessel types.

General information

It is apparent that the CA should ensure that the general information about all their vessels is obtained and updated. This would require the CA to network and work with other government stakeholders that may have the legal mandate to such information.

- System for vessel registration in your country – if it covers relevant food safety aspects.
- Who deals with vessel registration
- Process and procedure and criteria and conditions.
- System for fishing license(s) – if it covers relevant food safety aspects.
- Conditions that may include:
- Inspections and follow up
- Notification of arrival
- No fuel in fish well
- Detailed information for each vessel (or a sample selected by us):
- IMO, name, call-sign, type, gross tonnage, year of construction and owner;
- Vessel layout and design, including any changes since construction;
- Quality assurance manual – the HACCP and associated documents, i.e.
  - Good manufacturing practices
  - Thermometer calibration certificate(s)
  - Water analysis
  - Sanitation procedures
  - Data sheet of cleaning and disinfection products
  - Fumigation certification (where relevant)
- Crew list, training and medical records;
- Marpol Certificates (in particular, the "oil record" book);

- Photographs/footage of fish holds and equipment. - important for the CA to get permission from any company so you can take some pictures during your inspections/audit.