Guidelines for Preparation of Regulation (EU) 142/2011 Export Certificates

The guidance contains APHIS' best understanding of the proper formatting. APHIS does not confirm prior to endorsement that the majority of the information in Part I of the certificates is completed as required by the EU. Prior to export, **the exporter should always ensure that they have the required certificate endorsed, and have their importer confirm with the specific importing EU country as well as the EU Border Inspection Post (BIP) that the certificate is completed in an acceptable fashion for the specific consignment.**

The EU requires all certificates to be endorsed prior to the shipment of products from the U.S.

Requirement for multilingual certificates:
The EU requires certificates to be in an official language of the port of entry into the EU, as well as sometimes the official language of the specific EU country of destination. Many EU countries recognize several official languages. In these cases, if English is one of these languages, the certificate may be in English-only. In cases where APHIS has confirmed the acceptable "official" languages, the information is available on the IREGS under the individual countries.

For APHIS to endorse multilingual certificates, the certificates must be in English as well as the other language(s). In cases were APHIS has multilingual versions of these certificates available, they will be found under the information available on this web site for the specific pertinent EU country.

In other cases, the export has the responsibility of preparing the multilingual certificates. Multilingual certificates must be prepared with the English portion and the other language (or languages) side by side. This must be done either sentence by sentence or paragraph by paragraph.

Example:

English sentence or paragraph/Spanish sentence or paragraph;
English sentence or paragraph/Spanish sentence or paragraph;
English sentence or paragraph/Spanish sentence or paragraph.

Certificates may not be only partially multilingual, e.g. if page 1 is bilingual, the additional pages must be similarly prepared).

Some EU Countries May Accept Privately Prepared Separate Translations: Regulation: EU authorities have indicated that individual EU countries may decide to accept translations that are not part of the official certificate endorsed by APHIS. In these cases, APHIS would endorse the English-only version of the certificate, and

afterwards, the exporter could include a privately prepared translation with the consignment. The privately prepared translation in these cases is not endorsed by APHIS, and is not part of the official certificate. As of the publications of these guidelines, APHIS has not confirmed that particular EU country would accept this scenario.

APHIS would not refuse to endorse an English only certificate unless the IREGS for the specific country verifies that APHIS has confirmed the importing country (or country of initial entry of the consignment into the EU) has specific language requirements.

Requirement for capitalization:
The text that is utilized to "fill out" the certificate should be all capitalized (all letters in all words). (This is a requirement of Regulation (EC) 240/2007.)

Title
The title should be lined-out to indicate whether consignment is "for dispatch to" or "for transit through" the EU.

Part I: Details of Dispatched Consignment

I.1   Enter full name, address, and telephone number of consignor (entity in the U.S. exporting the product).

I.2   The exporter should leave this box blank- the APHIS Office will insert a certificate number prior to endorsement.

I.2.a   Leave blank.

I.3   Enter "APHIS-VS". (This text is pre-entered on most EU IREGS certificates.)

I.4   Enter VS APHIS Office endorsing certificate, "VS-XX", where XX is the State in which the endorsing office is located. (For example, enter "VS-VA" if the certificate is going to be endorsed by the VS APHIS Office in Virginia.)

I.5

- Consignments to the EU: Enter full name, address, and telephone number of consignee (entity receiving the product in the EU). The postal code is only required if it is part of the address of the consignee (some EU member countries do not yet have postal codes as part of addresses).

- Consignments transiting the EU: If the version available on the IREGS already has a diagonal line drawn through this section, do not enter any text. If the version available on the IREGS does not already have this done, then either:

o Enter the border inspection post (BIP) through which the consignment is intended to leave the EU; or

o Draw a single diagonal line through the section.

Note regarding transit shipments: The person responsible for the consignment while it is in the EU (the person listed in section I.6) is required to prepare a Common Veterinary Entry Document (CVED) prior to release of the shipment from the BIP through which the consignment enters the EU. The identity of the BIP through which the consignment will leave the EU must be identified on the CVED. APHIS is not involved in the preparation or completion of the CVED.

I.6

- Consignments to the EU: Enter a single diagonal line. (This line is pre-entered on most EU IREGS certificates.)

- Consignments transiting the EU: Enter full name, address, telephone number, and postal code (if applicable) of person taking responsibility for the consignment in the EU.

I.7   This text is pre-entered on most EU IREGS certificates.

I.8   Draw a single diagonal line through the box. (This line is pre-entered on most EU IREGS certificates.) (There are some exceptions for some poultry commodities, but in these cases the section is pre-filled out on the IREGS certificates.)

I.9   Enter destination country name and ISO code [For EU countries: Austria AT; Belgium BE; Bulgaria BG; Cyprus CY; Czech Republic CZ; Denmark DK; Estonia EE; Finland FI; France FR; Germany DE; Greece GR; Hungary HU; Ireland IE; Italy IT; Latvia LV; Lithuania LT; Luxembourg LU; Malta MT; Netherlands NL; Poland PL; Portugal PT; Romania RO; Slovakia SK, Slovenia SL, Spain ES; Sweden SE; and the United Kingdom/Northern Ireland GB].

I.10   Draw a single diagonal line through the box. (This line is pre-entered on most EU IREGS certificates.)

I.11   Enter the following information for the APHIS-approved facility from which the consignment is shipped to the EU: Establishment name, address **(excluding the zip code/postal code)**, and APHIS Reference Number. **Do not include the zip code (aka postal code)** unless the pre-printed information on the certificate says "postal code".

Please note the APHIS reference number must appear exactly as it is in TRACES. A zero ("0") is not the same as the letter "O". Consignments may be rejected if consignments are received with an "O" noted on the certificate where a zero "0" is

actually in the APHIS reference number in TRACES. The same applies to other inconsistencies like a letter "I" where it should be a digit "1", or vice versa.

Please remember that all APHIS reference numbers related to product exports to the EU follow the following format only:

LL-LL<mark>V</mark>-#### where:

- L is always a letter
- # is always a numeral
- <mark>V</mark> is usually a zero, but in some cases may be letter, e.g. C , <mark>but may never be a letter "O".</mark>

Note: On the following certificates, the facility listed in section I.11 must be the same as the facility listed in section I.28: 3D (raw pet food), 3F (unprocessed animal byproducts for the manufacture of pet food), 5A (fresh or chilled hides), and 8 (animal by-products for purposes outside the feed chain).

I.12
- Consignments to the EU: Enter a single diagonal line. (This line is pre-entered on most EU IREGS certificates.)
- Consignments transiting the EU: Enter the name, address, and postal code (if applicable) of the warehouse where the consignment will be stored while in the EU. Also, enter the approval number assigned by the EU to this warehouse. The EU individual listed in block I.6 should be able to obtain this number for the exporter. If an approval number is not available, the EU will not permit the consignment entry into the EU for transit. APHIS will not confirm these numbers prior to endorsement. Exporters should have the person listed in block I.6 confirm whether the "Custom warehouse" box should be selected.

I.13   Enter port of exit from the U.S. (place of loading onto the ship or plane). In cases where the port of exit is not known, the location (city/state) of the warehouse from which the consignment is shipped to the port of exit may be utilized.

I.14   Enter date of expected shipment departure from the U.S. This should be the date the shipment will depart from the port of exit, but may be the date the consignment departs the warehouse for the port of exit. **This date must be on or after the date of the certificate.**

I.15   Select the method utilized to transport the shipment from the U.S. to the EU must always be indicated. Only one method may be selected.

For "identification," list the name of the shipping line or airline that is expected to be utilized to transport the consignment from the port of exit to the EU. The EU is believed to require the identification of the specific ship or flight number in this box. If the exporter choses to not include this information, then they must line-out this section (enter

dashes in the fillable APHIS) and submit a "shipping at your own risk" agreement to the APHIS Office. While APHIS would not refuse to endorse a certificate simply because this section is lined-out, the "shipping at your own risk" agreement is required because the consignment may be rejected if this APHIS is not completed.

"Documentary references" may be lined-out [dashes would be entered in the fillable APHIS] if the consignee is located in the EU. Alternatively the bill of lading or airway bill number may be included. For transit shipments, the exporter must include the bill of lading or airway bill number.

If the "identification" or "documentary references" information changes after the certificate is endorsed, the exporter must notify EU officials at the border inspection post (BIP) in advance of the change. However, the certificate may not be "amended" (re-issued) if this is the only change. No documentation from APHIS should be issued regarding changes in this information. The exporter may not make the change to the certificate. No alterations may be made to the certificate after endorsement by the APHIS Office.

I.16   Enter the EU Border Inspection Post (BIP). This is the port of first arrival to EU. The official BIP code should be utilized. The exporter should work with the importer to confirm that the official code is utilized. For example, for Dublin Airport, enter: "IE DUB 4". A resource is located on the IREGS for this:

> Border Inspection Post (BIP) Codes to utilize in Section I.16 of European Union harmonized certificates: 2009/821/EC as amended February 2018

I.17   If a CITES document is required for the consignment, enter the CITES document number here. Enter a single diagonal line through the box if no CITES document is required. (Some certificates have this line pre-printed.) For more information on when CITES documents are required, and how to obtain them, visit the U.S. Fish and Wildlife Service Website: http://www.fws.gov/le/ImpExp/CommWildlifeImportExport.htm Exporters should have their importers confirm with the BIP prior to shipment whether or not a CITES document is required.

I.18   Include a general description of the exported materials, e.g. canned pet food. The information should correspond to the HS code entered in block I.19.

I.19   Generally, the code will be pre-printed on the certificate, either in block I.19 or in the footnotes. Enter the code as indicated on the certificate (either pre-printed in block I.19 or on the bottom of the certificate). The exporter should work with the importer to confirm that the appropriate code is utilized, and that the BIP will allow the use of the certificate with the code if the code is not one pre-printed on the certificate.

I.20   Include both the Gross Weight AND the Net Weight of the consignment. While the EU has indicated that both are required, APHIS believes that for small shipments

where the gross weight and net weight are essentially the same, the exporter may enter only one number here. [Gross weight is the weight including packaging but the EU has indicated the shipping container weight does not have to be included. Net weight is the weight of the materials shipped not including packaging.] **Only METRIC units (e.g. KG OR GRAMS) may be utilized in this box.**

I.21   Select the appropriate box.

I.22   Enter total number of pieces or packages in the consignment.

I.23   **Generally** the container number is only required for consignments shipped in bulk. Generally the seal number is only required when the certificate indicates that the materials are in "officially sealed containers." This box may sometimes be left empty- in these cases, enter a single diagonal line through the box.

I.24   The EU has specific terminology for different types of packaging, e.g. "bag, paper, multi-wall." The exporter should work with the importer to confirm that EU accepted terminology is utilized. A reference list of EU terms for "types of packaging" is included at the end of this document.

I.25   Depending on the certificate, there may be multiple options. Select one. "Animal feedingstuff" includes all materials intended for consumption by animals, including pets. "Technical use" includes materials intended for uses such as pharmaceutical and diagnostic purposes. "Other" includes items that do not belong in either of the previous options, e.g. game trophies.

I.26
- Consignments to the EU: Enter a single diagonal line. (This line is pre-entered on most EU IREGS certificates.)
- Consignments transiting the EU: Select the box, and enter the name and ISO code of the country of destination. A resource for ISO codes is available on the Internet: http://www.iso.org/iso/country_codes/iso_3166_code_lists/country_names_and_code_elements.htm

I.27
- Consignments to the EU: Select the box.
- Consignments transiting the EU: Enter a single diagonal line. (This line is pre-entered on most EU IREGS certificates.)

I.28   Required information varies depending on the certificate. Most certificates have requirements to list the following 4 items:
1. Species (Scientific name): The exporter should include the names of the species of origin of the materials being exported. Requirements for terminology for "scientific names" vary by EU Member State. Exporters should have their

importers confirm (prior to preparation of certificates) the specific terminology the importing port requires for the "scientific name."

2. Approval number of establishments-Manufacturing Plant: This must be the reference number granted by APHIS to the facility approved for export to the EU under Regulation (EU) 142/2011 (as amended). [Special note for the 4(A) Certificate: The "Approval number of establishments-Manufacturing Plant" must be the number of the facility where the source blood was originally collected from the actual equidae animal.] Please see the information regarding the importance of not interchanging digits and numbers included above in section I.11. Please also note: On the following certificates, the facility reference number listed in section I.11 must be the same as the facility reference number listed in section I.28: 3D (raw pet food), 3F (unprocessed animal byproducts for the manufacture of pet food), 5A (fresh or chilled hides), and 8 (animal by-products for purposes outside the feed chain).

3. Net weight.

4. Batch number: This is the lot number(s) of actual materials in consignment.

Any unused APHIS in this the fillable portion must be lined out with a single diagonal line. If the exporter cannot do this prior to submission of the certificate, they should include a request with their submission to APHIS for the APHIS office to add the line at endorsement.

Part II: Certification

II.a   The exporter should leave this blank- the APHIS Office will insert the certificate number from I.2 prior to endorsement.

II.b   Enter a single diagonal line. (This line is pre-entered on most EU IREGS certificates.)

The exporter should leave **the rest of Part II** blank with the following exceptions.

1. When preparing the certificate the exporter must include all text from the certificate on the IREGS. The exporter may not electronically or otherwise delete these items. Where there is an "and/or" statement, the exporter must line-out the selections that are not appropriate. Line-outs for common scenarios are demonstrated on the pertinent IREGS. For countries that will accept English-only certificates, the actual lined-out version on the IREGS may be utilized. Prior to endorsement, the VS APHIS Office will confirm that the line-outs were verified by inspection of the production facility. The exporter should make every effort to prepare the certificate with the appropriate line-outs prior to printing. If line-outs are added prior to printing (if the lines on the actual printed certificate match the actual print/font of the certificate text), the endorsing APHIS office should not initial or emboss the line-out. If the line-outs do not match the print of the certificate, each line-out must be initialed and endorsed by the APHIS signatory.

This scenario could result in delays of certificate endorsement, and should be avoided. The exporter should consult with the VS APHIS Office endorsing the certificate for more information on which options should be lined-out.

2. Some certificates have blanks for the addition of certain addition information such as processing parameters. In these cases, the exporter should enter the missing information into the blanks, and the VS APHIS Office will confirm prior to endorsement.

Additional steps:

1. A single diagonal line should be drawn through any unused space on the certificate. APHIS Offices will print the certificates duplexed on VS Security Paper prior to endorsement. If the number of pages in the certificate is an "odd" number, a page should be added with a single diagonal line so that no side of the VS Security Paper is printed blank.
2. The certificate is not transferred to any letterhead.
3. Each side of each page must be numbered as "Page X of Y".
4. The APHIS Office will add the following to the certificate prior to endorsement. Exporters should check the certificate when they receive it from the endorsing office to ensure the below has been added:
    a. Certificate number on each side of page
    b. Full name of endorsing APHIS veterinarian (in "Official veterinarian" box)
    c. Date (in "Official veterinarian" box)
    d. Official title of endorsing APHIS veterinarian (in "Official veterinarian" box)
    e. Full signature of APHIS veterinarian: Each side of each page must be signed (not just initialed) by the endorsing APHIS veterinarian (in "Official veterinarian" box)
    f. Colorless raised embossment: Each side of each page must be embossed over the signature.

No additional pages may be included with the certificate.

Please contact the VS APHIS Office serving the APHIS in which you are located with any additional questions.

Please note it is the responsibility of the exporter to have their importer confirm prior to shipment with the BIP that all requirements have been met. This includes (but is not limited to) ensuring: that the certificate that has been endorsed is acceptable to the BIP, that the consignee has all necessary approvals from their government to receive the consignment for the intended purpose, and that all TRACES requirements have been met.

EU Packaging Types

Name
Aerosol
Ampoule, non-protected
Ampoule, protected
Atomizer
Bag
Bag, large
Bag, multiply
Bag, paper
Bag, paper, multi-wall
Bag, paper, multi-wall, water resistant
Bag, plastic
Bag, plastics film
Bag, textile
Bag, textile, sift proof
Bag, textile, water resistant
Bag, textile, without inner coat/liner
Bag, woven plastic
Bag, woven plastic, sift proof
Bag, woven plastic, water resistant
Bag, woven plastic, without inner coat/liner
Bale, compressed
Bale, non-compressed
Balloon, non-protected
Balloon, protected
Bar
Barrel
Barrel, wooden
Barrel, wooden, bung type
Barrel, wooden, removable head
Bars, in bundle/bunch/truss
Basin
Basket
Basket, with handle, cardboard
Basket, with handle, plastic
Basket, with handle, wooden
Bin
Board
Board, in bundle/bunch/truss
Bobbin
Bolt
Bottle, gas
Bottle, non-protected, bulbous
Bottle, non-protected, cylindrical
Bottle, protected bulbous
Bottle, protected cylindrical
Bottlecrate / bottlerack
Box
Box, aluminium

Box, Commonwealth Handling Equipment Pool (CHEP), Eurobox
Box, fibreboard
Box, for liquids
Box, natural wood
Box, plastic
Box, plastic, expanded
Box, plastic, solid
Box, plywood
Box, reconstituted wood
Box, steel
Box, wooden, natural wood, ordinary
Box, wooden, natural wood, with sift proof walls
Bucket
Bulk, gas (at 1031 mbar and 15øC)
Bulk, liquefied gas (at abnormal temperature/pressure)
Bulk, liquid
Bulk, solid, fine particles ("powders")
Bulk, solid, granular particles ("grains")
Bulk, solid, large particles ("nodules")
Bunch
Bundle
Butt
Cage
Cage, Commonwealth Handling Equipment Pool (CHEP)
Cage, roll
Can, cylindrical
Can, rectangular
Can, with handle and spout
Canister
Canvas
Carboy, non-protected
Carboy, protected
Carton
Case
Case, isothermic
Case, skeleton
Case, with pallet base
Case, with pallet base, cardboard
Case, with pallet base, metal
Case, with pallet base, plastic
Case, with pallet base, wooden
Cask
Chest
Churn
Coffer
Coffin
Coil
Collapsible tube
Composite packaging, glass receptacle
Composite packaging, glass receptacle in aluminium crate

Composite packaging, glass receptacle in aluminium drum
Composite packaging, glass receptacle in expandable plastic pack
Composite packaging, glass receptacle in fibre drum
Composite packaging, glass receptacle in fibreboard box
Composite packaging, glass receptacle in plywood drum
Composite packaging, glass receptacle in solid plastic pack
Composite packaging, glass receptacle in steel crate box
Composite packaging, glass receptacle in steel drum
Composite packaging, glass receptacle in wickerwork hamper
Composite packaging, glass receptacle in wooden box
Composite packaging, plastic receptacle
Composite packaging, plastic receptacle in aluminium crate
Composite packaging, plastic receptacle in aluminium drum
Composite packaging, plastic receptacle in fibre drum
Composite packaging, plastic receptacle in fibreboard box
Composite packaging, plastic receptacle in plastic drum
Composite packaging, plastic receptacle in plywood box
Composite packaging, plastic receptacle in plywood drum
Composite packaging, plastic receptacle in solid plastic box
Composite packaging, plastic receptacle in steel crate box
Composite packaging, plastic receptacle in steel drum
Composite packaging, plastic receptacle in wooden box
Container, not otherwise specified as transport equipment
Cover
Crate
Crate, beer
Crate, bulk, cardboard
Crate, bulk, plastic
Crate, bulk, wooden
Crate, framed
Crate, fruit
Crate, milk
Crate, multiple layer, cardboard
Crate, multiple layer, plastic
Crate, multiple layer, wooden
Crate, shallow
Creel
Cup
Cylinder
Demijohn, non-protected
Demijohn, protected
Dispenser
Drum
Drum, aluminium
Drum, aluminium, non-removable head
Drum, aluminium, removable head
Drum, fibre
Drum, iron
Drum, plastic

Drum, plastic, non-removable head
Drum, plastic, removable head
Drum, plywood
Drum, steel
Drum, steel, non-removable head
Drum, steel, removable head
Envelope
Filmpack
Firkin
Flask
Foodtainer
Footlocker
Frame
Girder
Girders, in bundle/bunch/truss
Hamper
Hogshead
Ingot
Ingots, in bundle/bunch/truss
Intermediate bulk container
Intermediate bulk container, aluminium
Intermediate bulk container, aluminium, liquid
Intermediate bulk container, aluminium, pressurised> 10 kpa
Intermediate bulk container, composite, flexible plastic, liquids
Intermediate bulk container, composite, flexible plastic, pressurised
Intermediate bulk container, composite, flexible plastic, solids
Intermediate bulk container, composite, rigid plastic, liquids
Intermediate bulk container, composite, rigid plastic, pressurised
Intermediate bulk container, composite, rigid plastic, solids
Intermediate bulk container, metal
Intermediate bulk container, metal, liquid
Intermediate bulk container, metal, pressure10 kpa
Intermediate bulk container, natural wood, with inner liner
Intermediate bulk container, paper, multi-wall
Intermediate bulk container, paper, multi-wall, water resistant
Intermediate bulk container, plastic film
Intermediate bulk container, plywood, with inner liner
Intermediate bulk container, reconstituted wood, with inner liner
Intermediate bulk container, rigid plastic, freestanding, liquids
Intermediate bulk container, rigid plastic, freestanding, pressurised
Intermediate bulk container, rigid plastic, freestanding, solids
Intermediate bulk container, rigid plastic, with structural equipment, liquids
Intermediate bulk container, rigid plastic, with structural equipment, pressurised
Intermediate bulk container, rigid plastic, with structural equipment, solids

Intermediate bulk container, steel
Intermediate bulk container, steel, liquid
Intermediate bulk container, steel, pressurised> 10 kpa
Intermediate bulk container, textile with out coat/liner
Intermediate bulk container, textile, coated
Intermediate bulk container, textile, coated and liner
Intermediate bulk container, textile, with liner
Intermediate bulk container, woven plastic, coated
Intermediate bulk container, woven plastic, coated and liner
Intermediate bulk container, woven plastic, with liner
Intermediate bulk container, woven plastic, without coat/liner
Jar
Jerrican, cylindrical
Jerrican, plastic
Jerrican, plastic, non-removable head
Jerrican, plastic, removable head
Jerrican, rectangular
Jerrican, steel
Jerrican, steel, non-removable head
Jerrican, steel, removable head
Jug
Jutebag
Keg
Liftvan
Log
Logs, in bundle/bunch/truss
Lot
Mat
Matchbox
Mutually defined
Nest
Net
Net, tube, plastic
Net, tube, textile
Not available
Package
Package, display, cardboard
Package, display, metal
Package, display, plastic
Package, display, wooden
Package, flow
Package, paper wrapped
Package, show
Packet
Pail
Pallet
Pallet, box
Pallet, modular, collars 80cms * 100cms
Pallet, modular, collars 80cms * 120cms
Parcel
Parcel

Pipe
Pipes, in bundle/bunch/truss
Pipes, in bundle/bunch/truss
Pitcher
Plank
Planks, in bundle/bunch/truss
Plate
Plates, in bundle/bunch/truss
Pot
Pouch
Rack
Rack, clothing hanger
Receptacle, glass
Receptacle, metal
Receptacle, plastic
Receptacle, plastic wrapped
Rednet
Reel
Ring
Rod
Rods, in bundle/bunch/truss
Roll
Sachet
Sack
Sack, multi-wall
Sea-chest
Set
Sheet
Sheet, plastic wrapping
Sheetmetal
Sheets, in bundle/bunch/truss
Shrinkwrapped
Skid
Slipsheet
Spindle
Suitcase
Suitcase
Tank, cylindrical
Tank, rectangular
Tea-chest
Tin
Tray
Tray pack
Tray, one layer no cover, cardboard
Tray, one layer no cover, plastic
Tray, one layer no cover, polystyrene
Tray, one layer no cover, wooden
Tray, two layers no cover, cardboard
Tray, two layers no cover, plastic tray
Tray, two layers no cover, wooden
Trunk

Truss
Tub
Tube
Tube, collapsible
Tube, with nozzle
Tubes, in bundle/bunch/truss
Tun
Unpacked or unpackaged
Vacuum-packed
Vat
Vial
Wickerbottle