# REGISTERED AQUACULTURE EXPORT FACILITY (RAEF) PRODUCTION FACILITY

## *INSPECTION CHECKLIST*

## GENERAL INFORMATION

### RAEF Production Facility Inspection and Approval

- This APHIS Registered Aquaculture Export Facility (RAEF) Production Facility Inspection Checklist is for facilities that breed, produce, grow, or package live aquatic animals on the exporting premises for the purposes of international export. As a reminder, RAEF is only required if the facility is exporting to a country that 1) requires APHIS oversight (regardless of the level of, or lack thereof, export testing), and/or 2) when premises freedom level testing is required to export to a country.

- There are 2 parts to this inspection checklist, which must be completed by APHIS personnel.
    - **PART 1** must be completed by the APHIS VS Export Veterinarian after receiving the RAEF Production Facility Pre-inspection Package from the facility. Once the APHIS VS Export Veterinarian completes and signs PART 1 of this RAEF Production Facility Inspection Checklist, they will send it (along with the RAEF Pre-inspection Package) to the APHIS VS Field Veterinarian.
    - **PART 2** must be completed by the APHIS VS Field Veterinarian during the on-site inspection. Once the APHIS VS Field Veterinarian completes and signs PART 2 of this RAEF Production Facility Inspection Checklist, they will send it to the APHIS VS Export Veterinarian overseeing this facility's approval process for review and countersignature.

- The facility owner/operator must complete one of the following Excel workbook options as part of the RAEF Production Facility Pre-Inspection Package. The APHIS VS Export Veterinarian must review the RAEF Production Facility Pre-Inspection Package and associated Excel workbook prior to the APHIS VS Field Veterinarian conducting the facility inspection. Details about when each option should be used are below.
    - **OPTION 1: Any number of species AND premises freedom**
        - This Excel workbook - RAEF Production Facility Pre-Inspection Package – Premises Freedom - should be used for facilities that are seeking approval to export any number of species to at least 1 country that requires/allows premises freedom level testing for any pathogens of concern; this applies to countries that either require premises freedom for the pathogens of concern, OR allow premises freedom for some or all pathogens of concern. This Excel workbook should also be used if the importing country requires/allows premises freedom for some pathogens of concern, as well as requires/allows test-and-ship for some pathogens of concern.
            - For example, if the facility exports live white leg shrimp (*L. vannamei*) to Country A which requires testing for 4 pathogens. Country A allows for testing of these 4 pathogens via either premises freedom or test-and-ship. The facility has premises freedom for 3 of the 4 pathogens, so it elects to meet the testing requirements for Country A via premises freedom (for 3 pathogens) and test-and-ship (for the remaining 1 pathogen).
    - **OPTION 2: 15 species or less AND no testing/test-and-ship**
        - This Excel workbook - RAEF Production Facility Pre-Inspection Package – No T&S for 15 species or less - should be used for facilities that are seeking approval to export 15

species or less to a given country AND that country requires either no testing or requires/allows test-and-ship (testing within a specific timeframe pre-export) for all the pathogens of concern.

- If the facility meets the testing requirements via premises freedom for any country (even if the importing country doesn't require premises freedom), then OPTION 1 should be used instead.

- **OPTION 3: 16 species or more AND no testing/test-and-ship**
  - This Excel workbook - RAEF Production Facility Pre-Inspection Package – No T&S for 16 species or more - should be used for facilities that are seeking approval to export 16 species or more to a given country AND that country requires either no testing or requires/allows test-and-ship (testing within specific timeframe pre-export) for all the pathogens of concern.

    - If the facility meets the testing requirements via premises freedom for any country (even if the importing country doesn't require premises freedom), then OPTION 1 should be used instead.

**INSPECTION CHECKLIST**

## RAEF Production Facility Inspection – PART 1 (Export Veterinarian verifies the export requirements)

*Part 1 must be completed by the APHIS VS Export Veterinarian prior to the on-site facility inspection based on the information received from the facility in the RAEF Production Facility Pre-Inspection Package.*

I. Verification of species and written country-specific export documentation

**1. ☐ YES ☐ NO Did the facility provide a RAEF Production Facility Pre-Inspection Excel workbook as part of the Pre-inspection Package?**

**1.a. ☐ YES ☐ NO Does the Excel workbook list the species the facility is seeking approval to export to each country(ies)?**

**1.b. ☐ YES ☐ NO Was the correct Excel workbook format used based on the number of species the facility is exporting to a given country, and whether premises freedom vs. test-and-ship vs. no testing is required for the species the facility is seeking approval to export to that country?**

**Note:* See Excel workbook descriptions in the general information above.

**2. ☐ YES ☐ NO Did the facility provide the written requirements for the export of the species listed in the Excel workbook to the given destination country?**

**2.a. ☐ YES ☐ NO Did the facility list the name of the health certificate/protocol that will be used to export the species to the given destination country in the Excel workbook?**

**Note:* If a country's written requirements are posted on the USDA APHIS International Regulations (IRegs) web page, then the link to that certificate/protocol on the IRegs is needed to document the country-specific requirements for APHIS verification. The link should be provided in STEP 2.b. of the Excel workbook, and the facility does not need to attach a copy of the health certificate/protocol when submitting the RAEF Production Facility Pre-Inspection Package to APHIS for review.

If a country's requirements are not already officially negotiated and listed on IRegs, APHIS will only verify the requirements as being met if they are provided by the facility to APHIS in writing. The written requirements must be submitted by the facility via email as part of the RAEF Production Facility Pre-Inspection Package in advance of the APHIS site inspection. Acceptable formats include: an import permit, requirements on the destination country's website, an email from a government official in that destination country, etc..

The facility should also list the name of the health certificate/protocol that will be used to export in STEP 2.a. of the Excel workbook for each country.

**3. ☐ YES ☐ NO Does the Excel workbook list the common name and scientific name in each country-specific section for each species the facility is seeking approval to export to that country?**

**Note:* The "INSTRUCTIONS + EXAMPLES" tab of each Excel workbook includes details for documenting when only the *Genus* is available, acceptable descriptors for a given animal, and corals vs. non-animal species. Also, make sure to verify the species the facility is seeking approval to export are in accordance with any country-specific lists of prohibited species or related restrictions.

**4. ☐ YES ☐ NO After reviewing the written requirements for each destination country for which this facility is seeking approval, did you find STEP 3 for each country-specific section of the Excel workbook is complete and accurate for the species listed?**

**Note:* The species listed for each country should comply with any country-specific regulations for species eligibility (e.g., lists of eligible, restricted, prohibited species), as well as certificate-specific regulations (e.g., only salmonid species are approved for a salmonid ova export health certificate).

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II. Verification of export testing requirements

**5. ☐ YES ☐ NO Based on verification of each destination country's testing requirements, STEP 4 for each country-specific section of the Excel workbook is complete and accurate for the species the facility is seeking approval to export?**

**Note:* The answer in the Excel workbook depends on whether testing of any kind is required for any of the species to a given country.

The answer for STEP 4 should be "YES" if the country requires testing of any kind (i.e., premises freedom and/or test-and-ship) prior to exporting any of the species listed. If testing is only required for some of the species listed, then the answer should still be "YES."

The answer for STEP 4 should be "NO" if the country does not require any testing of any kind (i.e., premises freedom and/or test-and-ship) prior to exporting any of the species listed.

For any requirements which appear novel or questionable, reach out through the chain of command/IECs for clarification.

**6. ☐ YES ☐ NO Is premises freedom level testing required or allowed for any pathogens to export the species listed to the destination country(ies) for which the facility is seeking approval?**

IF YES:

**6.a. ☐ YES ☐ NO ☐ N/A After verification of which pathogens are required or allowed to meet premises freedom level testing for export to each destination country, is STEP 6 for each country-specific section of the Excel workbook is complete and accurate for the species the facility is seeking approval to export?**

**6.b. ☐ YES ☐ NO ☐ N/A Does the facility have a Premises Freedom Letter to demonstrate the facility meets the design prevalence, species, and pathogens of concern for each country the facility is seeking approval to export?**

**Note:* The answers to 6.a. and 6.b. will depend on whether premises freedom level is required or allowed for any pathogens of concern AND if the correct pathogens are listed for each species. RAEF approval will not be granted if the answer is "NO."

Answer "YES" to both 6.a. and 6.b. if the facility must meet premises freedom level testing for any pathogen of concern AND the Excel workbook was completed correctly AND the facility presented a valid Premises Freedom Letter that meets the design prevalence (e.g., 95% confidence of detecting at 2% assumed pathogen prevalence), species, and pathogens of concern for each country.

Answer “NO” to both 6.a. and 6.b. if the facility must meet premises freedom level testing for any pathogen of concern AND either the Excel workbook was completed incorrectly AND/OR the facility did not present a valid Premises Freedom Letter that meets the design prevalence, species, and pathogens of concern for each country.

Answer “N/A” to both 6.a. and 6.b. if the facility does not have to meet premises freedom level testing for any pathogen of concern.

There are some countries which require both premises freedom and test-and-ship level testing for some pathogens; if so, the facility must use the “RAEF Production Facility Pre-Inspection Package – Premises Freedom” Excel workbook AND meet both the premises freedom level and test-and-ship level requirements (Questions 6 and 7).

**7. ☐ YES ☐ NO Is test-and-ship level testing required or allowed for any pathogens to export the species listed to the destination country(ies) for which the facility is seeking approval, either in addition to or in lieu of premises freedom?**

IF YES:

**7.a. ☐ YES ☐ NO ☐ N/A After verification of which pathogens are required or allowed to meet test-and-ship level testing for export to each destination country this facility is seeking approval, is STEP 5 in each country-specific section of the Excel workbook complete and accurate for the species the facility is seeking approval to export?**

**Note:* The answer to 7.a. will depend on whether test-and-ship level testing is required or allowed for any pathogens of concern AND if the correct pathogens are listed for each species. RAEF approval will not be granted if the answer is “NO.”

Answer “YES” to 7.a. if the facility must meet test-and-ship level testing for any pathogen of concern AND the Excel workbook was completed correctly.

Answer to 7.a. “NO” if the facility must meet test-and-ship level testing for any pathogen of concern AND the Excel workbook was completed incorrectly.

Answer “N/A” to 7.a. if the facility does not have to meet test-and-ship level testing for any pathogen of concern.

There are some countries which require both premises freedom and test-and-ship level testing for some pathogens; if so, the facility must use the “RAEF Production Facility Pre-Inspection Package – Premises Freedom” Excel workbook AND meet both the premises freedom level and test-and-ship level requirements (Questions 6 and 7).

ADDITIONAL COMMENTS (optional)

**Digital Signature OR printed name and wet signature of the APHIS Export VMO** **Date**

Submit the following documents to the APHIS VS Field Veterinarian prior to their on-site inspection of the facility:

1. RAEF Production Facility Pre-Inspection Package including the Excel workbook and applicable written export requirements
2. Signed PART 1 of RAEF Production Facility Inspection Checklist

**INSPECTION CHECKLIST**

**RAEF Production Facility Inspection – PART 2 (Field Veterinarian verifies facility information)**

*Part 2 must be completed by the APHIS VS Field Veterinarian based on the country-specific information provided in PART 1 and direct verification during the on-site inspection of the facility.*

Date of inspection:

1.Company/organization name:

2.Contact person at facility (should be same person that completed and signed the Pre-inspection Package):

**2.a. ☐ YES ☐ NO Was the contact person above present during this on-site facility inspection?**

3.USDA Accredited Veterinarian:

**3.a. ☐ YES ☐ NO Is the Accredited Veterinarian BOTH USDA Accredited Category II AND licensed to practice veterinary medicine in the state where the facility is located?**

**3.b. ☐ YES ☐ NO Was the Accredited Veterinarian present during this facility inspection?**

IF NO:

**3.b.i. ☐ YES ☐ NO Is there evidence of a valid Veterinarian-Client-Patient Relationship (VCPR) between this facility and this Accredited Veterinarian in the facility records?**

**3.b.ii. What was most recent date the Accredited Veterinarian visited this facility?**

_____ (dd/mm/yyyy)

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I. Verification of production facility and management information

**4. Check all that apply and answer the following categories pertaining to the facility**

**4.a. Where are the animal production/ holding sites for this facility located?**

☐ Indoor
☐ Outdoor
☐ Combination (indoor/outdoor)
☐ Other _____

**4.b. What production type(s)/system(s) are in use at this facility?**

- ☐ Recirculation Aquaculture System (RAS)
- ☐ Flow through
- ☐ Concrete raceway
- ☐ Tank(s)
- ☐ Other _____
- ☐ Pond (lined)
- ☐ Pond (unlined)
- ☐ Raft
- ☐ Floating Upweller Systems (FLUPSY)

**4.c. ☐ YES ☐ NO Did you receive a map of the facility's production type(s)/system(s) layout**

**4.c.i. What is the estimated distance from this facility to the nearest aquaculture facility (*if applicable*)?**

_____

**4.c.ii. What is the estimated distance from this facility to the nearest open water (*if applicable*)?**

_____ **Note:* For open water facilities, note "0."

**4.d. What type of water is the facility using?**

- ☐ Freshwater
- ☐ Saltwater (source)
- ☐ Saltwater (artificial)
- ☐ Other _____

**4.e. What type of water source(s) is the facility using?**

- ☐ Spring
- ☐ Well/ ground
- ☐ Municipal
- ☐ Open water (saltwater)
- ☐ Open water (freshwater)
- ☐ Other _____

**4.f. What type of water treatment is being used for the source/system water?**

- ☐ Biological filtration
- ☐ Mechanical filtration
- ☐ Ozone
- ☐ Ultraviolet (UV)
- ☐ Chemical disinfection (e.g., chlorine, iodine, etc.)
- ☐ None
- ☐ Other _____

**4.g. What type of water treatment is being used for the shipping/transport water?**

- ☐ Same as selected in 4.f. above
- ☐ Other _____
- ☐ Separate dedicated water source

**4.h. ☐ YES ☐ NO Does the facility manage or treat the water leaving the facility (i.e., effluent)?**

**Note:* Acceptable forms of "treatment" or "management" of effluent include applicable State/regional permits for water discharge, retaining ponds, etc.

**4.i. ☐ YES ☐ NO Does the facility re-use the water/effluent for non-RAEF purposes?**

**5. Check all that apply and answer the following categories pertaining to animal health and movement.**

**5.a. ☐ YES ☐ NO Based on the Excel workbook the facility provided as part of their RAEF Production Facility Pre-Inspection Package, did you verify that the facility has the species listed present on the facility?**

IF NO:

**5.a.i. Please explain/describe below.**

**5.b. Where does the facility source the animals/species that will be exported?**

- ☐ Wild-caught
- ☐ Culture
- ☐ Associated hatchery
- ☐ Other _____
- ☐ Imported (intrastate)
- ☐ Imported (interstate)
- ☐ Imported (international)

**5.c. How does the facility identify/specify animal groups (i.e., as lots or epidemiological units)?**

- ☐ Year-class
- ☐ Size and/or age of animal
- ☐ Lifestage
- ☐ Other _____
- ☐ Date of harvest/shipment
- ☐ Date of arrival on the facility
- ☐ Animal holding system/location

**5.d. ☐ YES ☐ NO Did you verify the facility understands the requirement to maintain animal health and movement records for at least three (3) years, and the records must be made available to APHIS for review should the need arise?**

**5.e. ☐ YES ☐ NO Did you verify the Accredited Veterinarian understands the requirement to maintain animal health and movement records for at least three (3) years, and the records must be made available to APHIS for review should the need arise?**

**5.f. Where does the facility maintain their animal health and movement records?**

- ☐ Onsite physical location
- ☐ Remote physical location
- ☐ Electronic
- ☐ iCloud/OneDrive/virtual storage platform
- ☐ Paper
- ☐ Other _____

**5.g. ☐ YES ☐ NO Has the facility had any non-negative or positive laboratory results within the past twelve (12) months?**

IF YES:

**5.g.i. Please explain/describe below.**

**5.h. ☐ YES ☐ NO Did you verify the facility tracks morbidity/mortality and maintains these records?**

**5.i. What type of documentation does the facility use to track the import of animals into the facility from intrastate, interstate, and/or international sources?**

- ☐ Health certificates
- ☐ Import permits
- ☐ Airway bills (AWB)
- ☐ Packing lists
- ☐ Purchase orders
- ☐ Invoices
- ☐ Other _____
- ☐ N/A because no animals ever come into the facility

**5.j. What type of documentation does the facility use to track the export of animals out of the facility to intrastate, interstate, and/or international locations?**

- ☐ Health certificates
- ☐ Import permits
- ☐ Airway bills (AWB)
- ☐ Packing lists
- ☐ Purchase orders
- ☐ Invoices
- ☐ Other _____

**6. Check all that apply and answer the following categories pertaining to biosecurity.**

**6.a. ☐ YES ☐ NO Did you verify the facility has a written biosecurity plan in place that addresses the five (5) pathways for pathogen introduction (i.e., animals, water, feed, vectors, and fomites)?**

**6.b. ☐ YES ☐ NO Did you verify the employees of the facility have read the biosecurity plan, and received training on the biosecurity measures outlined in the plan?**

**6.c. Does the facility have written biosecurity practices in place that address the following risk pathways for pathogen introduction? Check all that apply.**

Animal Sources

- ☐ Quarantine protocols (for receiving animals from other sources, domestic and/ or international)
- ☐ Disease testing requirement/ animal health documentation
- ☐ Animal movement/separation within the facility

Water

- ☐ Water sources
- ☐ System water
- ☐ Shipping water

Feed and Storage

- ☐ Maintenance of live feed
- ☐ Maintenance of wet feed
- ☐ Maintenance of frozen feed
- ☐ Commercial feed storage
- ☐ Feed inventory protocols

Vectors and Fomites

- ☐ Use of fallowing practices
- ☐ Pest and/or predator control
- ☐ Practices for cleaning "holding" areas (e.g., tank, pond, net pen nets, etc.)
- ☐ Carcass disposal
- ☐ Dedicated equipment (and cleaning protocols)
- ☐ Vehicles (personal, shipment, maintenance)
- ☐ Dedicated personnel (e.g., logs, PPE, shower in/out protocols, etc.)

Cleaning and Disinfection

- ☐ Written cleaning protocols
- ☐ Logs/records of disinfection use
- ☐ Type of disinfection product(s) and protocols
- ☐ Oversight of disinfection use
- ☐ Logs/records of disinfection protocols

Physical Facility Security

- ☐ Perimeter security
- ☐ Visitor log
- ☐ Onsite security (e.g., cameras, personnel, dogs, etc.)

Emergency Planning

- ☐ Applicable contact information (e.g., for power company, propane company, emergency response personnel, etc.)
- ☐ Backup generator or alternative method(s)/equipment for supportive animal care
- ☐ Animal health and personnel emergency protocols

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II. Verification of overall facility compliance with export requirements

**7. ☐ YES ☐ NO Was the facility able to produce records tracking a consignment of animals from their origin through international export to the destination?**

**Note*: Types of records include animal health and/or movement records, invoices/orders, packing lists, import permits, health certificates, etc.

**8. ☐ YES ☐ NO Do you recommend this facility for approval as a RAEF Production Facility that meets the export requirements for the species and country(ies) for which this facility is seeking approval?**

**Note:* The answer will depend on whether all the criteria were met for Questions 1-8 in Part 2 of this inspection checklist.

Answer "YES" if the facility meets all the required inspection checklist criteria in Part 2.

Answer "NO" if the facility does not meet all the required inspection checklist criteria. If so, the APHIS VS Field Veterinarian must identify and describe the specific areas of non-compliance in the "ADDITIONAL COMMENTS" section below.

ADDITIONAL COMMENTS (optional)

Changes from last year's approval, if appropriate (optional):

**Digital Signature OR printed name and wet signature of APHIS VS Field VMO** **Date**

Submit the signed PART 2 of RAEF Production Facility Inspection Checklist to the APHIS VS Export Veterinarian for review and final submission to the APHIS VS Aquatic Trade Staff. Additional information may be attached if warranted such as notes, photos, etc., but are NOT REQUIRED.

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I the APHIS VS Export Veterinarian have verified Part 1 and Part 2 of the RAEF Production Facility Inspection Checklist are complete and meet the requirements for RAEF approval.

**Digital Signature OR Printed Name and wet signature of APHIS VS Export VMO** **Date**

Submit the following documents to the APHIS VS Aquatic Trade Staff for final review:

1. RAEF Production Facility Pre-Inspection Package including the Excel workbook and applicable written export requirements
2. RAEF Production Facility Inspection Checklist (signed Part 1 and Part 2)
3. Draft RAEF Production Facility Approval Letter