



NAIT STANDARD

ACCREDITATION OF ENTITIES

DEALING WITH NAIT ANIMALS

DATED 25 JULY 2019

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1 INTRODUCTION

PURPOSE

- 1.1. This standard specifies:
 - 1.1.1. the requirements that must be met by an individual or organisation seeking accreditation as an entity dealing with animals under the National Animal Identification and Tracing (NAIT) scheme
 - 1.1.2. the ongoing requirements that accredited entities dealing with NAIT animals must meet in order to retain their accredited status, and how their performance will be monitored, and
 - 1.1.3. the duties and functions that an accredited entity dealing with NAIT animals has regarding making declarations about the movement or death of NAIT animals at any location it operates.

APPLICATION

- 1.2. This standard applies to any entity seeking accreditation or already accredited as an entity dealing with NAIT animals under the NAIT scheme.
- 1.3. The term 'entity dealing with NAIT animals' is defined in section 4 of the National Animal Identification and Tracing Act 2012 (the NAIT Act).

THE NAIT SCHEME

- 1.4. The NAIT scheme is the mandatory system used to identify and trace livestock in New Zealand.
- 1.5. Terms that are defined in the NAIT Act have the same definition in this standard as in the NAIT Act. This includes the following terms: 'NAIT animal', 'NAIT device', 'NAIT number', and 'PICA'.
- 1.6. Section 20 of the NAIT Act authorises the NAIT organisation to accredit entities dealing with NAIT animals to perform duties and functions that are otherwise required to be performed by a person in charge of animals (PICA) or a PICA delegate.

ABOUT THIS STANDARD

- 1.7. This standard is made under section 19(1) of the NAIT Act.
- 1.8. It is effective from its date of notification in the New Zealand Gazette.
- 1.9. It revokes and replaces the NAIT Accreditation Standard for Information Providers and Entities Dealing with NAIT Animals (March 2012).
- 1.10. This standard may be updated from time to time by the NAIT organisation.
- 1.11. The NAIT organisation -
 - 1.11.1. may contract out parts of this standard including those that relate to the provision of information and training, and the audit and assessment of accredited entities under clause 9 of this standard, but the NAIT organisation remains responsible and accountable for the performance of these, and
 - 1.11.2. may not contract out the administration of this standard or its compliance and enforcement functions, unless these relate to the provision of information and training.

2 APPLICATION FOR ACCREDITATION

- 2.1. Individuals and organisations that trade or process livestock may apply to the NAIT organisation to become an accredited entity dealing with NAIT animals under the NAIT scheme. This includes individuals and organisations that

trade in NAIT animals (for example, stock agents), operate premises where NAIT animals are sold (for example, sale yards), operate premises where NAIT animals are slaughtered (for example, meat processing facilities), or operate premises where NAIT animals are exported (for example, a transitional facility or port of export).

- 2.2. The applicant must be a legal person (either a natural person or a body corporate).
- 2.3. The applicant must have one or more places of business in New Zealand and provide all of the addresses for those places.
- 2.4. To attain accreditation, the applicant must:
 - 2.4.1. meet all stipulated accreditation criteria
 - 2.4.2. provide any required information, and
 - 2.4.3. nominate and provide the contact details for a person who will act as the applicant's primary contact, once accredited.
- 2.5. The NAIT organisation may request additional information from the applicant in order to assess the application.

APPLICATION FORM AND FEE

- 2.6. An application to be accredited must be made on the appropriate form.
- 2.7. The application form must be accompanied by a declaration from the applicant that they understand and will comply with their obligations under the NAIT scheme and NAIT Act.
- 2.8. A non-refundable fee, as prescribed by regulation 4A of the NAIT (Fees and Forms) Regulations 2012, is payable with each application for accreditation.

EDUCATIONAL ASSESSMENT

- 2.9. The applicant, and any of its personnel as specified by the NAIT organisation, must complete an assessment to demonstrate their knowledge of the NAIT scheme and their obligations. This assessment must be completed as a part of the application, and at any other time on the request of the NAIT organisation (maximum of once per year unless specified as part of a direction under clause 4 of Schedule 2 of the NAIT Act).

3 ACCREDITATION PERIOD

- 3.1. Accreditation as an entity dealing with NAIT animals lasts for 3 years from the date the application was approved.
- 3.2. The NAIT organisation may extend the period of accreditation, to a period no greater than 5 years, where the following criteria are met:
 - 3.2.1. the entity dealing with NAIT animals has completed its initial 3 years as an accredited entity dealing with NAIT animals
 - 3.2.2. the entity dealing with NAIT animals has successfully completed a reaccreditation audit, and the findings of that audit have concluded that the entity is exceeding the minimum performance requirements
 - 3.2.3. there are no outstanding or unresolved complaints relating to the entity dealing with NAIT animals, and
 - 3.2.4. the entity dealing with NAIT animals has not received a notice of non-conformance in the past 3 years.
- 3.3. As a condition of being granted an extended accreditation period, the entity dealing with NAIT animals must agree to undergo a mid-point audit of its performance against the criteria specified in clause 7 of this standard, the scope of which will be determined by the NAIT organisation.

4 ACCREDITATION CRITERIA FOR ENTITIES DEALING WITH NAIT ANIMALS

RESOURCES AND CAPABILITY

- 4.1. Applicants must possess (own, lease or outsource) appropriate equipment for the functions and duties they perform. This includes radio frequency identification device (RFID) readers capable of handling the volume of livestock moved through the facilities they operate, and computer hardware and software capable of processing and submitting NAIT data within the timeframes prescribed by regulation 10 of the NAIT (Obligations and Exemptions) Regulations 2012.
- 4.2. Applicants must ensure that they have sufficient staff, whether employed or contracted, and that their staff have the skills and experience to perform the functions and duties required of them. This includes:
 - 4.2.1. providing training and support where required to all users of the NAIT information system within their organisation
 - 4.2.2. maintaining individual training records for administration users and entity PICAs, and
 - 4.2.3. ensuring that all users of the NAIT information system are aware of their obligations under the NAIT Act, the Privacy Act 2020 and this standard.
- 4.3. Applicants must have policies and procedures that enable their staff to meet an accredited entity's obligations under the NAIT Act.
- 4.4. Applicants must have a customer complaints management policy and maintain a customer complaints register that details:
 - 4.4.1. the nature of the complaint
 - 4.4.2. who made the complaint
 - 4.4.3. how the complaint was resolved
 - 4.4.4. who managed the complaint
 - 4.4.5. the date the complaint was received, and
 - 4.4.6. the date the complaint was resolved.
- 4.5. An applicant's complaints management policy and any associated procedures must be published and provided on request to any PICA.

BUSINESS CONTINUITY

- 4.6. Applicants must have a business continuity plan that ensures they can continue to perform their NAIT functions and duties, within the timeframes prescribed by the National Animal Identification and Tracing (Obligations and Exemptions) Regulations 2012, in the event of a systems failure or other emergency.
- 4.7. The business continuity plan must include procedures for:
 - 4.7.1. restoring system capability without the loss of data
 - 4.7.2. operating alternative systems during the emergency
 - 4.7.3. communicating with the NAIT organisation about the emergency, within 24 hours of its detection, and
 - 4.7.4. communicating with PICAs about the emergency, if required.
- 4.8. Applicants must ensure that they have a system back up and that records are securely held.

DATA-SHARING AGREEMENT

4.9. Alongside the statutory framework for NAIT information system access in Part 4 of the NAIT Act, applicants must enter into a data-sharing agreement with the NAIT organisation in accordance with section 20(7)(b) of the NAIT Act. The data sharing agreement must be submitted with the applicant's accreditation application form.

DEMONSTRATION OF DATA UPLOAD CAPABILITY

4.10. Applicants must prove on request by the NAIT organisation that they are capable of uploading data to the NAIT information system, in the required format and otherwise in accordance with this standard.

DATA MANAGEMENT SYSTEMS

4.11. Applicants must have satisfactory policies and procedures for managing the NAIT data that they handle. Policies and procedures will ensure that the data is:

- 4.11.1. collected, held and used in compliance with New Zealand laws
- 4.11.2. collected, held and used in accordance with any restrictions imposed on the data by the person who provided it
- 4.11.3. held safely and securely
- 4.11.4. stored so that it is readily accessible, and
- 4.11.5. able to be securely transferred to the NAIT organisation within the regulated timeframes.

4.12. Policies and procedures must include:

- 4.12.1. document and contract management
- 4.12.2. IT security and data privacy
- 4.12.3. internal audit and quality management
- 4.12.4. system back-up and recovery procedures
- 4.12.5. staff training, and
- 4.12.6. incident resolution.

5 COLLECTION AND SUBMISSION OF NAIT DATA

APPLICATION FOR A COMMON SYSTEM INTERFACE

- 5.1. If a NAIT standard governing accreditation of third-party software is in force and applies to the entity dealing with NAIT animals (for example, where that entity wishes to use a common systems interface to connect to the NAIT information system), they must comply with that standard.
- 5.2. Entities dealing with NAIT animals that link into and access the NAIT information system must also apply for data access in accordance with Part 4 of the NAIT Act.

METHODS FOR SUBMITTING DATA

- 5.3. Entities dealing with NAIT animals must upload data to the NAIT information system within the timeframes set out in the NAIT Act and the National Animal Identification and Tracing (Obligations and Exemptions) Regulations 2012.
- 5.4. Data must be submitted electronically in the format specified by the NAIT organisation via either:
 - 5.4.1. secure login to the NAIT information system, or
 - 5.4.2. a common systems interface with the NAIT information system.

- 5.5. When internet services are unavailable, an entity dealing with NAIT animals must submit data as soon as possible after the services resume, and in any event, within 24 hours, unless by prior arrangement with the NAIT organisation.
- 5.6. Where, due to a civil defence or other emergency, an entity dealing with NAIT animals is unable to submit data using the methods in clause 5.4 of this standard, then, where timeframes have not been extended under section 34 of the NAIT Act, they may submit the data to the NAIT organisation's contact centre. To avoid doubt, in all other situations, the entity dealing with NAIT animals must not provide data to the NAIT organisation using the NAIT organisation's contact centre. .
- 5.7. Entities dealing with NAIT animals must retain an electronic copy of all data entered into the NAIT information system, regardless of how that data is submitted, for 3 years.

DATA QUALITY

- 5.8. Entities dealing with NAIT animals must be able to demonstrate that where they link into and access the NAIT information system for the purposes of submitting data that they do not compromise the integrity of the data in the NAIT information system or operation of the NAIT information system.
- 5.9. Entities dealing with NAIT animals must be able to demonstrate that they are able to achieve an operational level of data transfer quality and accuracy without error or omission. This means that in all instances of data transfer to the NAIT organisation the information transferred is both complete and correctly transferred.
- 5.10. It is recognised that in some circumstances entities dealing with NAIT animals must rely on PICAs to provide accurate data. However, entities must take reasonable steps to ensure that data received from PICAs is correct and complete before it is transferred to the NAIT information system.
- 5.11. Entities dealing with NAIT animals must notify PICAs in advance when they know ahead of time that they will be unable to provide their usual services.

COMPLIANCE WITH TERMS OF USE

- 5.12. All entities dealing with NAIT animals must comply with the NAIT information system terms of use.

DATA UPLOAD FAILURES

- 5.13. Where there is a failure in the process of uploading data to the NAIT information system, the entity dealing with NAIT animals must immediately notify the NAIT organisation's contact centre of the upload failure. To avoid doubt, this only applies where the failure cannot be rectified within the timeframes required by the NAIT Act.
- 5.14. Entities dealing with NAIT animals must resolve any data upload failures or errors within 48 hours of being notified of the failure or error, regardless of how or by whom the notification is made.
- 5.15. Where the data upload failure or error is as a result of an ongoing issue with the NAIT information system, entities dealing with animals must immediately notify the NAIT organisation's contact centre of the issue.

INCORRECT MOVEMENT DATA

- 5.16. Where a PICA advises either an entity dealing with NAIT animals or the NAIT organisation of an incorrectly recorded animal movement, the entity must take reasonable steps to resolve the issue within 48 hours. In particular, the entity must:
 - 5.16.1. delete the incorrect movement
 - 5.16.2. record the correct movement, and
 - 5.16.3. advise the PICA and the NAIT organisation as soon as possible if the incorrect movement cannot be rectified.
- 5.17. If the entity dealing with NAIT animals is unable to resolve the issue, it must notify the PICA and the NAIT organisation that the incorrect data cannot be rectified within five business days.

- 5.18. Where an entity dealing with NAIT animals is informed of or identifies an incorrectly recorded movement and has not been informed of this movement by the PICA, the entity dealing with NAIT animals must inform the PICA of the incorrect movement within 48 hours, as well as whether the issue has been resolved. Failure to do so may result in suspension or revocation of the entity's accreditation.

NON-SCANNING TAGS

- 5.19. Where an entity dealing with NAIT animals is unable to scan a NAIT device on an animal that it receives at a location it operates, then the device must be read visually, or if the animal is not being slaughtered, it must be re-tagged with a functioning RFID device and that replacement device linked to the animal's NAIT record to maintain traceability of the animal.

6 NAIT ROLES AND RESPONSIBILITIES WITHIN ACCREDITED ENTITIES

GENERAL ROLES AND RESPONSIBILITIES

- 6.1. An accredited entity dealing with NAIT animals must provide information to the NAIT organisation about the movement of NAIT animals to and from the location(s) operated by the entity, in lieu of a PICA.
- 6.2. In particular:
- 6.2.1. an entity operating premises where NAIT animals are slaughtered must provide an animal exit declaration containing details of the animal's death to the NAIT organisation
 - 6.2.2. an entity operating at premises where NAIT animals are sold or otherwise traded must provide full and accurate information about the movement of animals for which they are responsible onto and out of those premises to the NAIT organisation, and
 - 6.2.3. an entity operating premises where an animal is exported live must provide an animal exit declaration as prescribed by regulation 25 of the National Animal Identification and Tracing (Obligations and Exemptions) Regulations 2012.
- 6.3. In clauses 6.4-6.5 of this standard, "in a timely manner" means within the legal timeframes for the PICA's provision of that information to the NAIT organisation, if applicable, and in any other event no later than 7 days after the request.
- 6.4. When a receiving PICA requests an entity dealing with NAIT animals to provide the NAIT number and sub-region of the sending PICA, the entity must provide that information, in a timely manner, if it is available to them.
- 6.5. When a sending PICA requests an entity dealing with NAIT animals to provide the NAIT number and sub-region of the receiving PICA, the entity must provide that information, in a timely manner, if it is available to them.
- 6.6. Any attempt to intentionally mask the NAIT number and sub-region of the sending or receiving PICA in relation to an animal movement will be a breach of this standard and result in revocation of the entity's accreditation.
- 6.7. Regardless of the roles and responsibilities set out in this standard, PICAs retain ultimate responsibility for complying with their obligations under the NAIT Act.

APPOINTMENT OF ADMINISTRATION USER

- 6.8. An entity dealing with NAIT animals must appoint at least one administrator user.
- 6.9. The NAIT organisation will enable the administrator user to access the NAIT information system on the entity's behalf.
- 6.10. An entity's administration user is responsible for:
- 6.10.1. managing the registration and removal of users
 - 6.10.2. managing registered NAIT numbers for the organisation
 - 6.10.3. managing registered NAIT locations for the organisation
 - 6.10.4. notifying the NAIT organisation of any changes to their contact information.

APPOINTMENT OF ENTITY PICAS

- 6.11. An entity dealing with NAIT animals must appoint a PICA for each location that the entity operates at.
- 6.12. An entity's PICA must be regularly present at the NAIT location they are appointed for.
- 6.13. An entity PICA may appoint a PICA delegate(s) to act on their behalf for when they are not present at the NAIT location they are appointed for.
- 6.14. An entity's PICA is responsible for:
 - 6.14.1. submitting data to the NAIT information system
 - 6.14.2. managing outstanding and rejected movement declarations against the NAIT numbers they are responsible for
 - 6.14.3. notifying the NAIT organisation and the entity's administration user of any changes to their contact information.

7 PERFORMANCE OF ACCREDITED ENTITIES DEALING WITH NAIT ANIMALS

- 7.1. The NAIT organisation will monitor the performance of accredited entities dealing with NAIT animals throughout the period of their accreditation in the following areas:
 - 7.1.1. ongoing compliance with the accreditation criteria as specified in clause 4 of this standard
 - 7.1.2. compliance with the NAIT Act, and its regulations and standards
 - 7.1.3. adherence to any timeframes for submitting data to the NAIT information system
 - 7.1.4. accuracy of data submitted to the NAIT information system
 - 7.1.5. resolution of reported issues and errors
 - 7.1.6. number of repeat issues and corrective actions taken for issues
 - 7.1.7. non-compliance with the data-sharing agreement or terms of use for the NAIT information system, and
 - 7.1.8. historical performance of the entity and its impact on the data integrity of the NAIT information system.
- 7.2. The NAIT organisation may monitor the accredited entity's performance in other areas and against other performance indicators, as it deems appropriate.
- 7.3. The NAIT organisation will notify the accredited entity in writing of any performance concerns identified through its performance monitoring.
- 7.4. The accredited entity will have 10 business days from the receipt of the notification to respond in writing to the performance concerns raised by the NAIT organisation, including the details of how it intends to address the performance concerns.
- 7.5. If the NAIT organisation is not satisfied with the accredited entity's response to the performance concerns, or if the performance concerns are not addressed, it may choose to perform a performance and quality audit of the accredited entity, and/or suspend the entity's accreditation.
- 7.6. The NAIT organisation, NAIT officers and NAIT authorised persons may use any compliance method or action specified in this standard in isolation, without taking a graduated compliance approach.

NOTICES OF NON-CONFORMANCE

- 7.7. A NAIT officer or NAIT authorised person is empowered to request an entity dealing with NAIT animals demonstrates its compliance with any aspect of this standard.
- 7.8. Where a NAIT officer or NAIT authorised person determines that an entity dealing with NAIT animals is not complying with this standard, he or she may issue a notice of non-conformance to the entity.

- 7.9. The NAIT officer or NAIT authorised person must forward a copy of the notice of non-conformance to the NAIT organisation within 5 business days.
- 7.10. Where the NAIT organisation receives a notice of non-conformance, it must contact the entity dealing with NAIT animals within 5 business days to advise that it has received such a notice.
- 7.11. The entity dealing with NAIT animals has 30 calendar days from when it receives a notice of non-conformance to demonstrate to the NAIT organisation that it has addressed any areas of non-conformance identified in the notice. The NAIT organisation may extend this timeframe if the entity dealing with NAIT animals has a legitimate reason why the timeframe cannot be met.
- 7.12. The NAIT organisation may suspend or revoke the accreditation of an entity dealing with NAIT animals that does not provide the required information or otherwise fails to demonstrate that it has adequately addressed the identified areas of non-conformance.

8 RENEWAL OF ACCREDITATION

- 8.1. Entities dealing with NAIT animals must apply to renew their accreditation at least 6 months before the expiry of their existing accreditation.
- 8.2. A non-refundable fee as prescribed by regulation 4A of the NAIT (Fees and Forms) Regulations 2012 is payable with each application for renewal of accreditation.
- 8.3. An application to renew accreditation must be made on the appropriate form.
- 8.4. The NAIT organisation will conduct an audit of the entity as part of the reaccreditation process. To avoid doubt, the NAIT organisation can contract this out, per clause 1.11 of this standard.
- 8.5. An entity that wishes to renew its accreditation must advise the NAIT organisation of any changes to:
 - 8.5.1. its contact information
 - 8.5.2. the person appointed as its primary contact, and
 - 8.5.3. the resources it has available to fulfil its NAIT duties and functions.
- 8.6. The NAIT organisation may, at its discretion, decline to renew an entity dealing with NAIT animals' accreditation, due to non-compliance with the NAIT Act or its regulations or standards, or for other reasons specified by the NAIT organisation.

9 AUDIT

- 9.1. The NAIT organisation will audit an entity dealing with NAIT animals when the entity applies to renew its accreditation, or at any other time at the NAIT organisation's discretion, in accordance with section 23 of the NAIT Act. To avoid doubt, the NAIT organisation can contract this audit, and related audit processes contained in this clause, out per clause 1.11 of this standard.
- 9.2. Employees of the NAIT organisation, and of organisations contracted by the NAIT organisation for conducting audits, may carry out audits under this standard.
- 9.3. To avoid doubt, NAIT officer or NAIT authorised person status is not needed to assess entities' compliance with this standard.
- 9.4. The audit may look at:
 - 9.4.1. the entity's ongoing compliance with the accreditation criteria
 - 9.4.2. any performance monitoring or evaluations of the entity
 - 9.4.3. any changes in resources available to the entity, including but not limited to, the training of the administration user and entity PICAs

- 9.4.4. the quality of the information gathered by the entity
 - 9.4.5. the information collection and management processes used by the entity, and
 - 9.4.6. any other matters concerning the information gathered or handled by an entity.
- 9.5. The NAIT organisation will provide the entity with a copy of the scope of the audit, including a copy of the audit assessment criteria, when it receives the entity's application to renew its accreditation or whenever it is otherwise notifying the entity that an audit is to be performed.
- 9.6. Where the audit relates to an application to renew accreditation, the NAIT organisation will set an audit date no later than 60 calendar days before the entity's current accreditation expires.
- 9.7. Within 10 working days of the audit's completion, the NAIT organisation or approved audit agency will provide in writing:
- 9.7.1. a copy of the audit report, which will specify the entity's performance against each of the audit criteria
 - 9.7.2. a list of any areas of non-conformance that require remediation, and
 - 9.7.3. a list of any recommended improvements (entities can implement these improvements at their discretion).
- 9.8. The entity has 30 calendar days from the receipt of the audit report to demonstrate that it has addressed any areas of non-conformance identified in the audit. The NAIT organisation or approved audit agency may extend this timeframe if the entity has a justifiable reason why the timeframe cannot be met.
- 9.9. The NAIT organisation may suspend, revoke or not renew the accreditation of an entity dealing with NAIT animals that does not provide the required information.

OUTCOME OF AUDIT

- 9.10. Where the NAIT organisation is not satisfied with the outcomes of an audit, including any identified areas of non-conformance, it may decide to conduct future audits at more frequent intervals, and will advise the entity dealing with NAIT animals of this.
- 9.11. Where the NAIT organisation is satisfied as a result of an audit that an entity dealing with NAIT animals is consistently performing well, it may extend the length of time required before the entity's next reaccreditation audit, as set out in clause 3.2 of this standard.

INTERIM PROVISIONAL ACCREDITATION DURING AUDIT

- 9.12. An entity undergoing a renewal of accreditation audit may continue to act as an accredited entity dealing with NAIT animals under a provisional accreditation, in situations where the audit has not been concluded before the entity's existing accreditation expires.

10 SUSPENSION AND REVOCATION OF ACCREDITATION

- 10.1. Failure to comply with the NAIT Act, or its regulations or standards may result in an entity dealing with NAIT animals' accreditation being suspended or revoked.

11 ACCREDITATION REGISTER

- 11.1. The NAIT organisation will maintain a public register on its website of all accredited entities dealing with NAIT animals.

12 USE OF THE NAIT LOGO

- 12.1. An accredited entity dealing with NAIT animals can apply for a licence to use the NAIT logo. Unless there are exceptional circumstances, the NAIT organisation will grant this licence where the accredited entity dealing with NAIT animals seeks permission to use a NAIT organisation-approved logo stating that they are NAIT accredited.

12.2. Under clause 13 of schedule 2 of the NAIT Act, it is an offence to knowingly use the NAIT logo without the prior written approval of the NAIT organisation.

13 CHANGE OF PRIMARY CONTACT

13.1. Accredited entities dealing with NAIT animals must notify the NAIT organisation of any changes to their primary contact person or contact information.