



NAIT STANDARD **ACCREDITATION OF** **INFORMATION PROVIDERS**

DATED 25 JULY 2019

1 INTRODUCTION

PURPOSE

- 1.1. This standard is for information providers seeking accreditation to provide a service on behalf of a person in charge of animals (PICA) under the National Animal Identification and Tracing Act 2012 (the NAIT Act).
- 1.2. This standard specifies:
 - the requirements that must be met by an individual or organisation seeking accreditation as an information provider under the National Animal Identification and Tracing (NAIT) scheme
 - the ongoing requirements that accredited information providers must meet in order to retain their accredited status, and how their performance will be monitored.

APPLICATION

- 1.3. This standard applies to any entity seeking accreditation or already accredited as an information provider under the NAIT scheme.
- 1.4. The term 'information provider' is defined in section 4 of the NAIT Act.

THE NAIT SCHEME

- 1.5. The NAIT scheme is the mandatory system used to identify and trace livestock in New Zealand.
- 1.6. The NAIT organisation is the organisation designated to implement the NAIT scheme under section 8 of the NAIT Act.
- 1.7. Section 20 of the NAIT Act authorises the NAIT organisation to accredit information providers to perform duties and functions that are otherwise required to be performed by a PICA or a PICA delegate.

ABOUT THIS STANDARD

- 1.8. This standard is made under section 19(1) of the NAIT Act.
- 1.9. It is effective from its date of notification in the New Zealand Gazette.
- 1.10. It revokes and replaces the NAIT Accreditation Standard for Information Providers and Entities Dealing with NAIT Animals (March 2012).
- 1.11. Information Providers that are accredited under the NAIT Accreditation Standard for Information Providers and Entities Dealing with NAIT Animals (March 2012) remain bound to the conditions of that Standard until they have been reaccredited under this Standard or until 29 February 2020, whichever comes first.
- 1.12. Accredited Information Providers that have not been re-accredited under this Standard by 29 February 2020, must either comply with the accreditation requirements of this Standard or their accreditation will be revoked.
- 1.13. This standard may be updated from time to time by the NAIT organisation.
- 1.14. The practical application of this standard is supported by detailed technical information and guidance, which can be found on the NAIT organisation's website.

2 APPLICATION FOR ACCREDITATION

- 2.1. Individuals and organisations may apply to the NAIT organisation to become an accredited information provider under the NAIT scheme.
- 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:
- meet all stipulated accreditation criteria
 - provide any required information
 - 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. The form is available from the NAIT organisation on request or can be downloaded from its website.
- 2.7. The application form must be accompanied by a declaration signed by the applicant that it understands and will comply with its obligations under the NAIT scheme and NAIT Act.
- 2.8. A non-refundable fee as prescribed by section 4(2) of the NAIT (Fees and Forms) Regulations 2012 is payable with each application for accreditation.

3 ACCREDITATION PERIOD

- 3.1. Accreditation as an information provider 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:
- the information provider has completed its initial 3 years as an accredited information provider
 - the information provider has successfully completed a reaccreditation audit, and the findings of that audit have concluded that the provider is exceeding the minimum performance requirements, as specified in the NAIT organisation's Reaccreditation Audit Policy
 - there are no outstanding or unresolved complaints relating to the information provider
 - the information provider 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 information provider must agree to undergo a mid-point performance audit, the scope of which will be determined by the NAIT organisation.

4 ACCREDITATION CRITERIA FOR INFORMATION PROVIDERS

RESOURCES AND CAPABILITY

- 4.1. Applicants must possess (own, lease or outsource) appropriate equipment for the functions and duties they are seeking to be accredited to perform. This includes computer hardware and software capable of processing and submitting NAIT data within the timeframes prescribed by section 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:
- ensuring every person who will be submitting data to the NAIT information system on behalf of an accredited information provider is registered as an information provider user
 - providing training and support where required to all registered information provider users within their organisation
 - maintaining individual training records for all registered information provider users

- ensuring that all registered information provider users are aware of their obligations under the NAIT Act, the Privacy Act 1993 and this standard.
- 4.3. Applicants must have policies and procedures that enable their staff to meet an information provider's obligations, and the obligations of the PICAs they contract with, under the NAIT Act.
- 4.4. Applicants must have in place a customer complaints management policy and maintain a customer complaints register that details:
- the nature of the complaint
 - who made the complaint
 - how the complaint was resolved
 - who managed the complaint
 - the date the complaint was received
 - the date the complaint was resolved.
- 4.5. An applicant's complaints management policies 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:
- restoring system capability without the loss of data
 - operating alternative systems during the emergency
 - communicating with the NAIT organisation about the emergency, within 24 hours of its detection
 - 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. Applicants must enter into a data-sharing agreement with the NAIT organisation. The signed data-sharing agreement must be submitted with the applicant's accreditation application form. The agreement will provide for data management, protection of personal privacy and data security.

DEMONSTRATION OF DATA UPLOAD CAPABILITY

- 4.10. Applicants must demonstrate that they are capable of uploading data to the NAIT information system, in the required format, using one of the mechanisms outlined in section 5.5.
- 4.11. The NAIT organisation will provide the training environment and materials for this demonstration to occur. A 100% accuracy rate in uploading data to the NAIT information system must be demonstrated before an application will be approved.

DATA MANAGEMENT SYSTEMS

- 4.12. Applicants must have satisfactory policies and procedures for managing the NAIT data they collect. Policies and procedures will ensure that the data is:
- collected, held and used in compliance with New Zealand laws

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

4.13. Policies and procedures must include:

- document and contract management
- IT security and data privacy
- internal audit and quality management
- system back-up and recovery procedures
- staff training
- incident resolution.

5 COLLECTION AND SUBMISSION OF NAIT DATA

APPLICATION FOR A COMMON SYSTEM INTERFACE

- 5.1. Information providers that want to use a common system interface to submit data to the NAIT information system, must apply to the NAIT organisation for this purpose.
- 5.2. An application for use of a common system interface must be made on the appropriate form. The form is available from the NAIT organisation on request or can be downloaded from its website.
- 5.3. An application to use a common system interface must also be accompanied by an application for data access in accordance with section 46(14) of the NAIT Act.
- 5.4. An applicant for a common system interface must agree to data testing as part of the application process. The NAIT organisation will provide the test environment and testing material for this to occur. A 100% accuracy rate is required before an application will be approved.

METHODS FOR SUBMITTING DATA

- 5.5. Data must be submitted electronically in the format specified by the NAIT organisation via either:
 - secure login to the NAIT information system
 - a common systems interface with the NAIT information system.
- 5.6. When internet services are unavailable, an information provider 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.
- 5.7. Where, due to a civil defence or other emergency, an information provider is unable to submit data using the methods in section 5.5, then they may submit the data to the NAIT organisation's contact centre by phone, email, courier or electronic media.
- 5.8. Information providers 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

- 5.9. Information Providers must demonstrate that when they link into and access that 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.

5.10. Information providers must demonstrate that they are able to achieve an operational level of data transfer quality and accuracy of 100%. This means that in 100% of instances of data transfer to the NAIT organisation the information transferred is both complete and correctly transferred.

5.11. It is recognised that in some circumstances information providers must rely on PICAs to provide accurate data. However, information providers should take reasonable steps to ensure that data received from PICAs is correct and complete before it is transferred to the NAIT information system.

COMPLIANCE WITH TERMS OF USE

5.12. All information providers and information provider users 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 information provider must immediately notify the NAIT organisation's contact centre by phone of the upload failure.

5.14. Information providers 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, the information provider should immediately notify the NAIT organisation's contact centre of the issue.

INCORRECT DATA

5.16. Where a PICA advises the information provider of incorrectly recorded data, the information provider must take reasonable steps to resolve the issue within 48 hours.

5.17. Where incorrect data has been recorded because the PICA provided incorrect data to the information provider, the PICA must provide the correct information at the same time as he or she advises the information provider of the issue.

5.18. If the information provider is unable to resolve the issue, it must notify the PICA and the NAIT organisation that the incorrect data cannot be rectified, as soon as possible after the expiry of the initial 48 hours.

5.19. Where an information provider is informed of or identifies an incorrectly recorded movement and hasn't been informed of this movement by the PICA, the provider 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 Information Provider's accreditation.

6 RELATIONSHIP BETWEEN INFORMATION PROVIDERS AND PICAS

6.1. A PICA or PICA delegate may appoint an information provider to perform one or more of the following functions or duties on his or her behalf:

- register the PICA or PICA delegate with the NAIT organisation
- register NAIT animals that the PICA is in charge of with the NAIT organisation
- provide animal movement declarations to the NAIT organisation
- provide animal movement information to the NAIT organisation
- notify the NAIT organisation when animals that the PICA is in charge of die, are lost or are exported live
- ensure that all PICA, NAIT animal and NAIT location details required by the legislation are maintained.

6.2. An information provider must enter into a written contract with a PICA that specifies the functions and duties in paragraph 6.1 that the information provider will undertake. At a minimum, contracts must:

- authorise the information provider to act on behalf of the PICA or PICA delegate

- acknowledge that the information provider will meet all of the legislative requirements of the NAIT Act regarding the functions and duties that the information provider will undertake on behalf of the PICA
 - allow the information provider to access and manage the PICA or PICA delegate’s personal information and data that is required for NAIT purposes.
- 6.3. The contract must be held for the duration of the relationship with a PICA.
- 6.4. The information provider must retain copies of all data, correspondence and records relating to the contractual relationship with the PICA for at least 3 years after the contract terminates.
- 6.5. The contract must be made available to the NAIT organisation at its written request during this period.
- 6.6. Nothing in this standard limits a PICA or PICA delegate’s freedom to choose whether to submit data themselves, or appoint an information provider or multiple information providers for all or part of their reporting requirements, or to change their provider at any time.
- 6.7. When a receiving PICA requests an information provider to provide the NAIT number and sub-region of the sending PICA, the information provider must provide that information.
- 6.8. When a sending PICA requests an information provider to provide the NAIT number and sub-region of the receiving PICA, the information provider must provide that information.
- 6.9. 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 information provider’s accreditation.
- 6.10. Regardless of the existence and provisions of any contract, PICAs retain ultimate responsibility for complying with their obligations under the NAIT Act.

7 PERFORMANCE OF INFORMATION PROVIDERS

- 7.1. The NAIT organisation will monitor the performance of accredited information providers throughout the period of their accreditation in the following areas:
- ongoing compliance with the accreditation criteria as specified in section 4 of this standard
 - compliance with the NAIT Act, and its regulations and standards
 - adherence to any timeframes for submitting data to the NAIT information system
 - accuracy of data submitted to the NAIT information system
 - resolution of reported issues and errors
 - number of repeat issues and corrective actions taken for issues
 - non-compliance with the data-sharing agreement or terms of use for the NAIT information system
 - historical performance of the provider and its impact on the data integrity of the NAIT information system
 - breach of the requirement to have a written contract with the PICAs that the information provider acts on behalf of.
- 7.2. The NAIT organisation may monitor the information provider’s performance in other areas and against other performance indicators, as it deems appropriate.
- 7.3. The NAIT organisation will notify the information provider in writing of any performance concerns identified through its performance monitoring.
- 7.4. The information provider 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 information provider'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 information provider, and/or suspend the provider's accreditation.

NOTICES OF NON-CONFORMANCE

- 7.6. A NAIT officer or NAIT authorised person may, at his or her discretion, request an information provider to demonstrate its compliance with any aspect of this standard.
- 7.7. Where a NAIT officer or NAIT authorised person determines that an information provider is not complying with this standard, he or she may issue a notice of non-conformance to the provider.
- 7.8. 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.
- 7.9. Where the NAIT organisation receives a notice of non-conformance, it must contact the information provider within 5 business days to advise that it has received such a notice.
- 7.10. The information provider 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 information provider has a legitimate reason why the timeframe cannot be met.
- 7.11. The NAIT organisation may suspend or revoke the accreditation of an information provider 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. Information providers 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 section 4(2) 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. The form is available from the NAIT organisation on request or can be downloaded from its website.
- 8.4. The NAIT organisation will conduct an audit of the information provider as part of the reaccreditation process.
- 8.5. An information provider that wishes to renew its accreditation must advise the NAIT organisation of any changes to:
- its contact information
 - the person appointed as its primary contact
 - the resources it has available to fulfil its NAIT duties and functions
 - the number of clients it has.
- 8.6. The NAIT organisation may, at its discretion, decline to renew an information provider's 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 information provider when it 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.
- 9.2. The audit will look at:
- the information provider's ongoing compliance with the accreditation criteria

- any performance monitoring or evaluations of the information provider
 - any changes in resources available to the information provider, including but not limited to, the training and effectiveness of registered information provider users
 - the quality of the information gathered by the information provider
 - the information collection and management processes used by the information provider
 - any other matters concerning the information gathered or handled by an information provider.
- 9.3. The NAIT organisation will provide the information provider with a copy of the scope of the audit, including a copy of the audit assessment criteria, when it receives the provider’s application to renew its accreditation or whenever it is otherwise notifying the provider that an audit is to be performed.
- 9.4. 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 provider’s current accreditation expires.
- 9.5. Within 10 working days of the audit’s completion, the NAIT organisation will provide in writing:
- a copy of the audit report, which will specify the provider’s performance against each of the audit criteria
 - a list of any areas of non-conformance that require remediation
 - a list of any recommended improvements (providers can implement these improvements at their discretion).
- 9.6. The provider 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 may extend this timeframe if the provider has a justifiable reason why the timeframe cannot be met.
- 9.7. The NAIT organisation may suspend, revoke or not renew the accreditation of an information provider that does not provide the required information.

OUTCOME OF AUDIT

- 9.8. 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 information provider of this.
- 9.9. Where the NAIT organisation is satisfied as a result of an audit that an information provider is consistently performing well, it may extend the length of time required before the provider’s next reaccreditation audit, as set out in section 3.2.

INTERIM PROVISIONAL ACCREDITATION DURING AUDIT

- 9.10. A provider undergoing a renewal of accreditation audit may continue to act as an accredited information provider under a provisional accreditation, in situations where the audit has not been concluded before the provider’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 information provider’s accreditation being suspended or revoked.

11 ACCREDITATION REGISTER

- 11.1. The NAIT organisation will maintain a public register on its website of all accredited information providers.

12 USE OF THE NAIT ACCREDITED LOGO

- 12.1. An accredited information provider can apply for a licence to use the NAIT logo.
- 12.2. Under sections 78(4) and 78(5) of the NAIT Act, it is an offence to use the NAIT logo without the written approval of the NAIT organisation.

13 CHANGE OF PRIMARY CONTACT

- 13.1. An accredited information provider must notify the NAIT organisation of any changes to their primary contact person or contact information.