

## Third-Party Provider of Assurance Services (TPPAS) Periodic Reporting Requirements<sup>12</sup>

### Reporting Periods

- 1 January–31 March
- 1 April–30 June
- 1 July–30 September
- 1 October–31 December.

### Report Contents

1. For each country and species, provide the number of each type of certified entity (i.e. exporters, importers, abattoirs and feedlots) by risk rating (i.e. high/medium/low). See Appendix B for reporting template.
2. By country and entity type, number of certified entities added/removed since the last report, including reasons for entity removal (i.e. suspension or revocation of certification, or voluntary removal). See Appendix C for reporting template.
3. For each country, information about audits conducted by entity type for the reporting period, including:
  - Number of audits conducted by certified entity type in a given country,
  - Percentage of audits conducted within schedule by country,
  - For audits not conducted within schedule, entity and audit type (e.g. scheduled periodic audit or follow-up audit), and reason/s for not completing audit on schedule.

See Appendix D for reporting template.

4. Information on detected animal welfare, control and traceability non-compliances by country, entity type and non-compliance category (i.e., minor, major, critical)<sup>3</sup>. Non-

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<sup>1</sup> Adapted from LISC Report Sub-Appendix E3 – *Report Requirements*

<sup>2</sup> Legislative reference: Export Control (Animals) Rules 2021 s. 5-18.

<sup>3</sup> See Appendix A for definitions of minor, major and critical non-compliances.

compliances associated with third party reports should not be included under this point – they should be addressed in point 5:

- For a given country and entity type, the total number of non-compliances (e.g. total number of non-compliances in all abattoirs in a given country) by category and livestock species involved

See Appendix E for reporting template.

- For all animal welfare, control and traceability non-compliances:
  - Details of the entity involved, including name, location and type (i.e. exporter, importer, feedlot or abattoir)
  - Method of detection (self-report, finding at regular audit, finding at follow-up audit)
  - Non-compliance category
  - A brief description of the non-compliance and actions taken to address the non-compliance
  - Whether the non-compliance is resolved or unresolved, and if unresolved, the proposed timeframe for resolution of the non-compliance.

5. Information about third-party reports of alleged non-compliance:

- For a given country and entity type, the total number of third-party reports of alleged non-compliance and livestock species involved

See Appendix F for reporting template.

- For all third-party reports, a brief description of the alleged non-compliance
- For all third-party reports investigated and deemed to be non-compliances:
  - Details of the entity involved, including name, location and type (i.e., exporter, importer, feedlot or abattoir)
  - Non-compliance category
  - Actions taken and proposed timeframes for resolution
  - Nature of evidence provided in the third-party report
- The total number and description of third-party reports of alleged non-compliances that have been deemed to not be non-compliances and reasons why this was the case.

## Appendix A: Categorisation of non-compliances

Category	Definition
<b>Minor</b>	<p>A failure to meet assurance rules and standards which is not likely to result in systemic failure or reduced ability to meet the ESCAS control, traceability or animal welfare requirements.</p> <p>Minor non-compliances have the potential to adversely affect ESCAS control, traceability or animal welfare outcomes.</p>
<b>Major</b>	<p>A failure to meet assurance rules and standards which is likely to result in systemic failure or materially reduced ability to meet the ESCAS control, traceability or animal welfare requirements.</p> <p>A number of minor non-compliances which are likely to result in systemic failure should be considered to be major non-compliance.</p> <p>Major non-compliances are likely to adversely affect ESCAS control, traceability or animal welfare outcomes.</p>
<b>Critical</b>	<p>A failure to meet assurance rules and standards which has led to the ESCAS control, traceability or animal welfare requirements not being met.</p> <p>Critical non-compliances are certain to adversely affect ESCAS control, traceability or animal welfare outcomes.</p>

## Appendix B: Reporting template – certified entities by type, country, species and risk rating

Exporter	Importing <sup>4</sup> Country/ies	Species	Risk Rating <sup>5</sup>		
e.g. Name of Exporter	e.g. Vietnam	e.g. Cattle	Low Risk	Medium Risk	High Risk

Importing Country	Species	Certified Entity Type	Number of Entities by Risk Rating		
			Low Risk	Medium Risk	High Risk
e.g. Vietnam	e.g. Cattle	Importer			
		Feedlot			
		Abattoir			

<sup>4</sup> Insert an additional row for each additional country, and each additional species exported to a country.

<sup>5</sup> Risk rating should be assigned to an exporter for a given species to a given country.

## Appendix C: Reporting template – certified entity removal

Certified Entity Type	Importing Country/ies <sup>6</sup>	Species	Number and Reasons for Removal		
			Suspension	Revocation	Voluntary Removal
Exporter	e.g. Vietnam	e.g. Cattle			

Importing Country	Certified Entity Type	Species	Number and Reasons for Removal		
			Suspension	Revocation	Voluntary Removal
e.g. Vietnam	Importer	e.g. Cattle			
	Feedlot				
	Abattoir				

<sup>6</sup> Insert an additional row for each additional country, and each additional species exported to a country for which certification has been removed.

**Appendix D: Reporting template – audits conducted**

Importing Country	Certified Entity Type	Number of Audits		
		Scheduled Audits	Conducted Audits	Percentage of Audits Conducted within Schedule
e.g. Vietnam	Exporter			
	Importer			
	Feedlot			
	Abattoir			

## Appendix E: Reporting template – ESCAS non-compliances

Importing Country	Species	Certified Entity Type	Number of Non-compliances by Type and Category								
			Animal Welfare			Control			Traceability		
			Minor	Major	Critical	Minor	Major	Critical	Minor	Major	Critical
e.g. Vietnam	e.g. Cattle	Exporter									
		Importer									
		Feedlot									
		Abattoir									

## Appendix F: Reporting template – third-party reports of alleged ESCAS non-compliances

Importing Country	Species	Certified Entity Type	Number of Non-compliances by Type and Category								
			Animal Welfare			Control			Traceability		
			Minor	Major	Critical	Minor	Major	Critical	Minor	Major	Critical
e.g. Vietnam	e.g. Cattle	Exporter									
		Importer									
		Feedlot									
		Abattoir									