

INSTRUCTIONS FOR FSIS FORM 9540-1

I. PREPARATION

A. BROKER/APPLICANT

The Broker/Applicant is responsible for preparing the FSIS Form 9540-1 and submitting it to the inspector at the time of reinspection. This form must accompany the original foreign inspection (health) certificate.

Block 1 - Original or Continuation (check one)

Select "original" for the first 9 lots certified on the foreign health certificate for a specific foreign establishment number, species, or process category. Select "continuation" if the health certificate contains more than 9 lots or more than one producing establishment, resulting in more than one FSIS Form 9540-1 being submitted. NOTE: a separate 9540-1 is required for each species, process category or foreign establishment number certified on the health certificate.

Block 2 - Health Certificate Number

The serial number assigned by the foreign inspection service and preprinted on the foreign health certificate.

Block 3 - U.S. Point of Entry

The location where the product first enters the United States. In the case of Canadian or Mexican product, the border crossing point should be identified.

Block 4 - Name and Address of Customs Broker or Applicant

Enter the complete name, address (street, city, state, and zip code) of the Customs Broker or Applicant.

Block 5 - (a) Customs Broker or Applicant Telephone Number & (b) Facsimile Number

Enter the Broker (or applicant's) business phone and facsimile number

Block 6 - (a) Name and Address of the Importer of Record (IR) & (b) Importer of Record (IR) Number

Enter the complete name, address (street, city, state, zip code) of the importer recorded with U.S. Customs. Enter the IR Number of the importer of record.

Block 7 - Customs Entry Number

Enter the eleven (11) digit (alpha-numeric) number assigned by U.S. Customs Service to a particular shipment of imported product. Note the three digits at the start of the number is used to identify the Customs Broker filing entry into the United States. (NOTE: Shipments filed entry in American Samoa, Guam and Saipan do not file entry with U.S. Customs. The Entry Number assigned by the local Customs service should be entered in this block.)

Block 8 - Reference Number (Optional)

Enter the identification number assigned by the broker or applicant to a particular shipment of imported product, if applicable. This is an internal reference number that brokers/applicants can provide.

Block 9 - Country of Origin

Enter the name of the country where the product originated. This must be the same country that issued the foreign inspection (health) certificate.

Block 10 - Exporting Establishment

Enter the establishment number that identifies the foreign establishment from where the shipment is exported.

Block 11 - Producing Establishment Number

Enter the number that identifies the foreign establishment that produced the product. This must be the same establishment number that is listed on the foreign inspection (health) certificate, as well as on the product. A separate FSIS Form 9540-1 must be completed for each producing establishment certified on the foreign health certificate. Complete a separate FSIS Form 9540-1 for each producing establishment certified on the foreign health certificate.

Block 12 - Name and Address of FSIS Import Establishment

Enter the complete name, street, city, state, and zip code of the FSIS import establishment where the product will be offered for reinspection. Contact the Technical Services Center for a current list of these facilities.

Block 13 - Import Establishment Number

Enter the FSIS number assigned the import establishment.

Block 14 - Species

Enter the applicable species or species combination (or meat derived from the species)

MEAT: Bovine (Beef, Veal), Porcine (Pork), Ovine (Lamb, Mutton), Caprine (Goat), Equine (horse); Red Meat combination;

POULTRY: Chicken, Turkey, Guinea/Squab, Duck/Geese, Ratite; Poultry combination; Red Meat/Poultry Combination

Block 15 - Process Category

Enter the applicable process category as identified by the producing establishment or foreign inspection service.

03B - Raw ground; **03C**-Raw - Not ground; **03D** - Thermally processed - commercially sterile; **03E** - Not heat treated - shelf stable; **03F** - Heat treated - shelf stable; **03G** - Fully cooked - not shelf stable; **03H** - Heat treated but not fully cooked - not shelf stable; **03I** - Products with secondary inhibitors - not shelf stable

A. BROKER/APPLICANT CONTINUED

Block 16 - Lot Number

Enter a sequential number grouping the product by type of product and packaging type, beginning with "1".

Block 17 - Description of Product

Enter the description or name of the product.

Block 18 - Shipping Marks

Enter the unique identifying mark certified on the foreign health certificate and which is applied to the product shipping containers in the foreign country (this may be the serial number of the health certificate.)

Block 19 - Package Type

Enter the appropriate type of container the product is packaged in.

Sides - to be used for carcasses only and may represent quarters, of which 2 quarters equal one side; **Packages** - to be used for products packaged in immediate containers contained in a shipping carton, tray or pallet (including combos); or **Cans** - to be used for products packaged in cans, whether contained in a shipping carton, tray or pallet.

Block 20 - Number of Units

Enter the number of sides, carcasses, cartons, or combos in the lot.

Block 21 - Number of Units Per Carton

Enter the number of cans or packages in each shipping carton, if applicable.

Block 22 - Net Weight

Enter the total net weight for each lot, in pounds.

Block 24 - Print Name of Customs Broker/Applicant

This is name of the broker/applicant or their representative signing in Block 25.

Block 25 - Signature

This is the signature of broker or applicant.

Block 26 - Date

Enter the date (month, day and year) that this form is completed and signed.

B. FSIS INSPECTOR

Block 23 - AIIS Lot ID Number (assigned by FSIS)

Entered by the FSIS import inspector after entry is made into the AIIS for an inspection assignment. This is a unique, system-generated number used to track import information records.

Block 27 - Signature and Block 28 - Date

If the Canadian shipment is presented at an import establishment other than the establishment designated in Blocks 12 and 13, and an inspection is assigned by the AIIS, the inspector shall sign his/her name in "Block 27" and enter the date (month, day and year) in "Block 28." The shipment must proceed to the designated import establishment.

Block 29 - Signature and Block 30 - Date

If the product is inspected and passed, the inspector shall sign his/her name in "Block 29" and enter the date (month, day, and year) in "Block 30". The shipment will be released into commerce.

Block 31 - Remarks

Enter any comments related to the shipment.

II. ACCEPTANCE

Prior to reinspection, inspectors shall carefully review FSIS Form 9540-1 to ensure proper completion by the broker/applicant. This form should accompany the foreign inspection (health) certificate and contain, as applicable, the same information as the health certificate. Accuracy for completing this application is the responsibility of the broker/applicant. If differences exist between the two documents, the application should be returned to the import establishment plant management, who will return it to the broker/applicant for correction. All corrections must be made prior to drawing an inspection assignment. Note that the information on the health certificate takes precedence. Inspection personnel shall refer to the Import Procedures Manual memorandum Part 4, Section 2, "Documents Examination and Identification of Imported Product," dated April 1, 2002, concerning acceptable and unacceptable health certificates and FSIS Form 9540-1.

Inspectors shall follow the guidelines listed below when reviewing FSIS Form 9540-1:

- A. Make sure that all applicable sections of the form have been completed and is signed by the broker/applicant.
- B. Make sure that the information, as applicable, is identical to the information on the foreign inspection (health) certificate.
- C. If any section of FSIS Form 9540-1 is incomplete or in error, return the form to the import establishment plant management, who will return it to the broker/applicant for correction prior to reinspection.

III. DISTRIBUTION

The distribution of the FSIS Form 9540-1 is outlined below.

- A. Prior to submission to the inspector, the broker/applicant should have distributed a copy to the U.S. Customs official at port of entry.
- B. After reinspection, the inspector shall distribute copies as follows:
 1. Original Copy - Retain at import establishment with the original health certificate in the official file.
 2. Photocopy - Submit to broker/applicant, if requested. Import plant management may make a copy and return the original signed 9540-1 to the inspector.