

Minimum operating standards for approved passport issuing organisations in England, Wales and Northern Ireland

December 2018



Department
for Environment
Food & Rural Affairs



Department of
Agriculture and
Rural Development
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AN ROINN
Talmhaíochta agus
Forbartha Tuaithe

MINISTRE O
Fairms an
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Llywodraeth Cymru
Welsh Government



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Introduction

Purpose

1. This document sets out the minimum operating standards (MOPS) that approved equine passport issuing organisations (“PIOs”) in England, Wales and Northern Ireland must meet to comply with legislation and to enable the equine identification regime to operate efficiently and effectively. It has been prepared by the Competent Authorities (CA) for each of England, Wales and Northern Ireland in partnership with approved PIOs, the Food Standards Agency (FSA), Local Authorities and the British Horse Council. The Scottish Government will issue separate, but similar, MOPS for PIOs in Scotland.
2. Commission Implementing Regulation (EU) 2015/262 (the “2016 EU Regulation”) came into force throughout the EU from 1st January 2016. In England, this is implemented (from 1 October 2018) by the new Equine Identification (England) Regulations 2018 which replace the Horse Passports Regulations 2009. Similar legislation for Wales and Northern Ireland is expected to come into force early 2019.
3. The system for issuing horse passports and maintaining the UK equine identification regime is administered by the Competent Authorities (CA) for each of England, Wales, Northern Ireland and Scotland. The CA for your PIO depends on which UK country your registered office is located in - see contact details at the start of this document.
4. We welcome your feedback on this document. In addition, we will consult PIOs about proposed changes and allow a reasonable period of time for adjustment. We reserve the right to update this document from time to time to ensure that the equine identification regime operates efficiently and effectively.

Terminology

5. For the purpose of this document please note the following definitions in particular. For further definitions please also see the Glossary at Annex 1 and Article 2 of the 2016 EU Regulation:
 - a. ‘horse(s)’ means wild or domesticated soliped mammals of all species within the genus *Equus* of the family *Equidae*, and their crosses.
 - b. ‘2016 EU Regulation’ means Commission Implementing Regulation (EU) 2015/262
 - c. ‘England SI’ means the Equine Identification (England) Regulations 2018 (SI 2018/761)

- d. "Passport" means an identification document for equines as referred to in the 2016 EU Regulation
- e. "recognised body" with regard to imported horses means any of the bodies referred to in **Article 14(a)** of the 2016 Regulation. For **registered horses** this is a body in a third country included in the list provided for in Article 3(1) of Directive 94/28/EC issuing pedigree certificates, or a national branch of an international organisation or association which manages horses for competition or racing with its headquarters in the third country of the international organisation or association referred to in Article 5(1)(b). For **all other horses** it is the competent authority of the third country of origin of the horse.
- f. "Veterinary Surgeon" means a Registered Veterinary Surgeon under membership of the Royal College of Veterinary Surgeons (RCVS)
- g. "Working Day" means every day from Monday to Friday except for public holidays.

Application

- 6. This document takes effect **from 1st October 2018**. It replaces the previous MOPS (dated March 2016).

Data Protection

- 7. The new EU General Data Protection Regulation (GDPR) now forms part of the data protection regime in the UK, together with the new [Data Protection Act 2018](#) (DPA 2018). They have applied since 25 May 2018 and PIOs should make their own arrangements to comply with both as regards passport issuing activities.
- 8. PIOs are responsible for making their own privacy notices available to customers on their website. Defra has a Fair Processing Notice which sets out how equine owners' information will be processed and used. PIOs can pass this to owners if requested. CAs for Wales and Northern Ireland plan to issue similar notices.
- 9. All PIOs must register with the [Information Commissioners Office](#) (ICO) unless they meet ICO exemption criteria.
- 10. It is a legal requirement to report serious breaches to the Information Commissioner's Office (ICO) **within 72 hours**. Breaches of the regulation are subject to a potential fine of up to 20 million Euros. The PIO should also inform the relevant CA **within 24 hours** of a suspected breach. Please mark the subject line as "urgent" in any emails sent and if you do not get a response within 24 hours (of a working day) please contact the CA's equine ID team directly or via their Departmental switchboard.

11. Not all breaches have to be reported to the ICO – only the ones where the individual is likely to suffer some form of damage, such as through identity theft or a confidential breach. However, PIOs should notify any loss, corruption or theft of passport data to the relevant CA **within 24 hours** so they can decide/advise what further action needs to be taken to comply with data protection requirements. Again, please mark email subject lines as “urgent” and contact the relevant CA equine ID team if you do not get a response within 24 hours (of a working day).
12. PIOs must ensure they have the right procedures in place to detect, report and investigate a personal data breach.
13. PIOs should also have procedures in place to handle new requirements under the GDPR including **data subject requests**. Guidance on the ICO webpages can be found at <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/>

Passport Records

PIO Database

14. PIOs must keep records in accordance with the [Data Protection Act 2018](#) and GDPR. Records must be accurate, clear, up to date and readily available.
15. Each PIO must hold an immediately-searchable, fully computerised database including at least the fields required by **Article 38(1)** of the 2016 EU Regulation in the format required by the CED. In summary, these are:
 - a. the Universal Equine Live Number (UELN) – see Annex 1 and 2;
 - b. the species;
 - c. the sex;
 - d. the colour;
 - e. the date (dd/mm/yyyy) of birth (approximate date can be used if necessary);
 - f. if applicable, at least the last 15 digits of the microchip code (shorter codes are acceptable for older chips);
 - g. the country of birth if known;
 - h. the date of issue and the date/description of any modification of the passport;

- i. the name and address of the owner;
 - j. the status as “registered” or “breeding and production”;
 - k. the name of the animal (i.e. the birth name and, where applicable, the commercial name);
 - l. the known status of the animal as not intended for slaughter for human consumption (this relates to the animal’s food chain eligibility);
 - m. the serial number, where applied to the passport;
 - n. the country where the holding of the equine is located; and
 - o. the notified date of death, slaughter or loss of the animal.
16. The PIO database must also record:
- a. Any evidence of passport modification, tampering or fraud, including Section II (and pre-2016 Section IX) anomalies
 - b. Details of any passports returned to owners following the death of a horse These must include the name and contact details of the person to whom the passport was returned as well as the date of return
 - c. Details of any pages previously added to the passport subsequent to its first issue, including date, number of pages and contents.
 - d. Details of any temporary documents issued, including issue and expiry dates
 - e. Details of any re-issued, Duplicate or Replacement passport, noting the reason for issue
17. PIO must keep records for at least **35 years** or until at least **2 years from the date of death** of the animal concerned, as required by the 2016 EU Regulation **Article 38(2)**. Where exact copies or scans of paper records, including signatures, are held on electronic record in such a way that they can be easily retrieved and printed for enforcement authorities then there is no need to retain the paper record.
18. The PIO must update their database to reflect any modifications made to the horse’s passport (see Section on Updating Passports).
19. In addition, owners importing horses into the UK are required to register existing passports with an appropriate UK PIO within 30 days of completing the customs procedure. PIOs should record full passport details on their database.

Central Equine Database

20. Equine Register Ltd host the UK Central Equine Database (CED) on behalf of Defra, in partnership with CAs for Wales, NI and Scotland. Equine Register has issued separate guidance (User Manual) to PIOs on using CED.
21. The 2016 EU Regulation requires CED to hold passport data - as provided by PIOs - for all horses resident in the UK (including imported horses) except for wild/semi-wild ponies in designated areas that do not require a passport. The main purpose of CED is to further protect public health by allowing the Food Standards Agency to double check (after inspecting the passport) if a horse presented for slaughter has been signed out of the human food chain. In addition, enforcement bodies (notably local authorities) can search CED by microchip number to identify the owners of horses that are found to be lost, abandoned or stolen and combat criminal activity.
22. As soon as a PIO has created or updated a passport record on their database, they must upload this information to the CED **within 24 hours** of a working day in England and Wales or **ASAP** in NI.
23. PIOs should contact Equine Register's Customer helpdesk (email: customerservice@equineregister.co.uk) if they encounter difficulties with submitting information to CED. For other queries they should contact the relevant CA.
24. Please be aware that CED will automatically rule horses out of the human food chain if information it holds from PIOs shows:
 - a. the passport was issued "late" (more than 12 months after the date of birth). However, the following **exceptions** apply and if appropriate the PIO should select the relevant "Late Passport Derogation" on CED: (i) the horse was born **before July 2009** (select "Pre-dates law change"); (ii) a semi-wild pony is leaving a derogated area; (iii) the horse was issued with an electronic passport within 12 months but the paper passport was issued after 12 months; or (iv) the owner applied for a passport in time but a foreign PIO did not manage to issue it within 12 months;
 - b. the country of birth is "unknown"; or
 - c. the horse has more than one microchip number, unless a second microchip has been inserted to replace one that is no longer working.
25. If FSA abattoir checks reveal that a horse is "signed out" of the human food chain in **either** the passport (Section II or previous Section IX) **or** CED then the animal will not be allowed to enter the human food chain.
26. Owners of UK resident horses with passports issued in another EU Member must still register the passport with a UK PIO which should overstamp the passport then

upload the record to CED. For registered horses, many studbooks are able to overstamp passports issued by other studbooks abroad. In order to keep the breeding information as complete as possible, owners of horses holding passports issued abroad (including those foaled in the UK) should have their passports over stamped by a studbook PIO that can accept the animal into its studbook under its own rules.

27. UK PIOs can also update passports issued in other member states but are required to notify the change of record to the central database of that member state. At present, PIOs are not able to send such notifications via the CED as guidance from the European Commission is not yet available. Contact details for other EU member state central databases can be found here:

http://ec.europa.eu/food/animals/identification/equine/ms_info_en.htm

Passports

Application Process

28. Horse owners in England, Wales and Northern Ireland must ensure that a PIO **receives** their passport application by the later of: six months from the horse's date of birth or by 30 November in the year of birth. First passports that are **issued** by the PIO *after* 12 months of birth must be treated as "late" and be issued as a Duplicate/Replacement passport instead (see later Section). If a PIO receives a late application from an owner, they should only treat the passport as "late" if they issue it more than 12 months after the horse's date of birth
29. Table showing application process for a first passport (different rules apply to wild/semi-wild ponies in designated areas – see later Section):

| Step | By | Action | Maximum time to complete |
|------|-------|---|--|
| 1 | Owner | requests application pack from appropriate PIO: <ul style="list-style-type: none"> • registered horses – from PIO that manages the studbook in which the animal is eligible for entry or has been entered; • Non-registered horses – from any PIO approved to issue ID-only passports | (Must submit application within deadlines – see row 3) |
| 2 | PIO | sends application pack to owner (with the exception of Section I parts A and B, a blank passport or part thereof must not be sent as an application form.) | Within 7 days of request |

| | | | |
|---|-------|--|--|
| 3 | Owner | submits completed application form, signed by a Veterinary Surgeon to confirm content correct. | To arrive at PIO by later of: six months from birth <u>or</u> 30 Nov of birth year |
| 4 | PIO | acknowledges receipt of application (optional if passport to be issued within 15 days) stating likely issue date and reason (e.g. DNA testing needed; suspected fraud) if issue will take more than 20 working days | Within 15 working days of receipt of application (if applicable) |
| 5 | PIO | checks application for: <ul style="list-style-type: none"> • accuracy/ authenticity/ signs of fraud; • no previous passport - check microchip number not already on CED; • horse is under 12 months old (by checking Date of Birth); • (in the UK) Veterinary Surgeon who implanted microchip has RCVS membership on RCVS practising Veterinary Surgeon database • completed silhouette that matches written description and is signed by veterinary surgeon or an appropriate person verified by a Veterinary Surgeon's signature. Notably the outline of each chestnut must be drawn in the appropriate square if horse has no markings and less than 3 whorls; • (Breed societies only) completes the breeding confirmation process in accordance with zootechnical legislation | |
| 6 | PIO | (if fees received) creates record on PIO database and issues passport as follows: (1) if within 12 months of birth (doesn't apply to semi-wild ponies leaving a derogated area) issues a " New " passport. (2) if after 12 months of birth issues either a " Duplicate " passport for a registered horse that has a Covering Certificate available and/or parentage is verified by DNA; or a " Replacement " passport for a "breeding and production" horse or for a registered horse without proof of parentage | Within 20 working days from receiving application (Note: if application received close to 30 Nov the PIO should take account of Christmas period so the passport is not issued late). |
| 7 | PIO | Uploads passport record from database to CED (manually or as Bulk upload at end of day) | Within 24 hours (of a working day) from creating record on the PIO's database |

30. The silhouette can be completed by an appropriate person authorised to do so by the PIO, so long as the location of the microchip is marked and the silhouette as a whole confirmed by the veterinary surgeon.
31. To complement information already available on CA websites, PIOs must provide accurate and up to date information outlining all the legal responsibilities of horse owners in relation to passports including (but not limited to) requirements to:
 - a. ensure completed passport applications are received by a PIO within 6 months of birth or by the 30 November of year of birth, whichever is the later;
 - b. hand over the passport at the time of transferring ownership of the horse to another person;
 - c. notify the PIO of any change of ownership (including dealers) **within 30 days** of the change by submitting the physical passport for update;
 - d. keep the following passport details in the passport up to date and correct at all times: ownership; eligibility for slaughter for human consumption; microchip code; status as registered or breeding and production;
 - e. submit the passport to a PIO **within 30 days** for updating if any passport details have changed;
 - f. submit the passport (or photocopy of relevant Section) to a PIO **within 14 days** of a veterinary surgeon completing and signing Part II of Section II of the passport;
 - g. return the passport to a PIO **within 30 days** of death or loss of the horse
 - h. ensure that horses born before 1 July 2009 are microchipped by 1 October 2020.
32. PIOs must make this available on their website and provide it with any documentation they send to horse owners, for example when returning a passport after updating. We also recommend that PIOs provide this information within the passport itself, printed on the inside of the passport cover or as a loose leaflet.

Pre-printed stock/ serial numbers

33. If you maintain stocks of pre-printed blank passport pages then these must, as a minimum, have serial numbers (page numbering doesn't count) printed on each of the pages which form Sections I to III of the passport. PIOs may use their discretion over the format used but should avoid any potential confusion with a UELN or

microchip number. The unique serial number allocated to each passport should be entered on each of the pages of Sections I – III at least.

34. If any passport or pre-printed blank stock is lost, missing or stolen, the PIO must notify the relevant CA **within 24 hours**. Please mark subject line as “urgent” in any emails sent and if you do not get a response within 24 hours please contact the relevant CA equine ID team via the Departmental switchboard. You should inform the CA of:
 - a. The circumstances of the loss, misplacement or theft; and
 - b. The serial numbers for the passport(s) and/or pre-printed blank stock concerned

Passport format

35. All passports must follow the **example layout** set out in annex 1 Part 1 of the 2016 EU Regulation, and also the extra security and binding requirements set out in annex 1 Part 2. Minor formatting variations are permitted only if necessary to improve the clarity of the passport.
36. The 2016 EU Regulation says that passports must be **machine riveted** so that pages cannot be fraudulently removed or replaced. However, a manual or fully automated machine is acceptable as long as the passport is securely bound.
37. A title page may be included ahead of Section I with the UELN, horse’s name, PIO’s name and any extra security features included.
38. When fields are completed the entries must be legible but do not have to be typed.
39. Section I, Part A must be sealed with transparent laminate after the information has been entered **unless** that section has been printed using a method that prevents alteration after the information was entered. Any alteration in colour of the equine or markings after the passport was issued should be recorded in Section I, Part C. The format of Section I, Part C may be expanded upon to better enable this.
40. Additional pages for the statutory Sections may be included as required to ensure sufficient pages are present for the ongoing use of the passport.
41. For **registered** horses, if necessary, an extended pedigree may be included as a single page extension to Section V, which must follow immediately after the Certificate of Origin and be marked ‘Section V, Pedigree’. Alternatively an extended pedigree can be added in the non-statutory pages – see FAQ for more details

42. Space for noting registrations in other studbooks may be included underneath the Certificate of Origin in Section V. Alternatively it can be included in Section I Part C.
43. Additional pages containing non-statutory information may be included in passports (both registered and non-registered) if they are:
 - a. Positioned at the end of the passport after the statutory pages
 - b. Clearly separated from the statutory pages
 - c. Clearly identified as non-statutory pages.
44. Passports issued before 1 January 2016 are still valid and do not need to be replaced.
45. PIOs must keep a detailed record of any changes to the appearance of the passports that they issue over time so they can assist in the identification of fraud. They must retain sample copies of all passport variations.
46. A sample passport must be provided if requested by the relevant CA.
47. In order to help verify any changes to a passport, PIOs must keep a detailed record of any changes to the format of their official stamp or embossing stamp and the colour of any ink used with it.
48. PIOs needing to make changes to meet the requirements of the 2016 EU Regulation should note that a number of PIOs offer services such as binding and passport production that may assist. You should contact other CA approved PIOs to establish what services are available.

Issuing passports

49. PIOs must have documented operating procedures in place for the issuing, updating and replacement of passports that reflect the 2016 EU Regulation and this document. These procedures must be properly understood by all staff.
50. The procedures must also include guidance that where a horse is of a specific breed, its owner must be informed about the appropriate breed society.
51. Definitions for “breeding and production horse” and “registered horse” are given in the Glossary at Annex 1. Generally, a “registered horse” is issued with a “registered” passport by a breed society and a “breeding and production horse” is issued with an “ID-only” passport by an ID-only PIO (although some breed societies also provide this service). Only breed societies are able to specify a breed in a registered passport. For unregistered equines, breed cannot be included in the ID-only passport

52. As well as issuing New passports (which can be reissued in certain circumstances), PIOs can also issue Duplicate and Replacement passports. Definitions of each and when to issue them are in the Glossary at Annex 1. It is very important to select the correct type when uploading details to CED.
53. For ID only passports, the PIO cannot verify the breeding of the horse and Section V (Certificate of Origin) **must not be completed**. Passport applicants requiring the inclusion of breeding details should be referred to an appropriate recognised breed society.
54. Passports must contain the following Sections:
 - a. Registered passports (for registered horses) – at least **Sections I to X**. Section XI may be included
 - b. ID only passports (for “breeding and production” horses) – at least **Sections I to IV**. Sections V to XI may be included but **information should not be entered in Section V**. You are recommended to include Section VII so that administration of vaccines can be recorded.
55. A passport cannot be issued unless the following sections have been **completed**:
 - a. Section I and IV for all passports; additionally
 - b. Section V for registered passports only; and
 - c. Section II, if applicable, for all passports.
56. Upon identification, the PIO is obliged to issue a horse with a UELN in accordance with instructions in Annex 2 of this document.
57. Before passport issue and uploading to CED appropriate checks must be made that information (including age of horse) provided and entered into the passport is correct and that a passport does not already exist. This must include checking the existing records held by the PIO by microchip number and searching for the microchip number on CED to check a passport has not previously been issued by another PIO. When a New passport record is uploaded to CED, if the microchip number is already on CED it will not be possible to enter the record. This is to prevent fraudulent activity.
58. Where it is claimed that a horse is of a specific breed and the 12 month passport issue deadline has passed, enquiries must be made with PIOs for that breed.
59. For rescued horses it is accepted that information on the existence of a passport as required in paragraph 57 may not be available. Where the PIO is satisfied that the horse was genuinely rescued (guidance/support may be available from the Chief

Executives of the British Equine Charities, CEBEC), a Replacement or Duplicate passport must be produced in accordance with the 2016 EU Regulation (Article 29 or 32 as appropriate), given a new UELN and in both instances signed out of the human food chain in Part II of Section II of the passport.

60. Where a PIO is issuing a passport to an animal kept in another EU member state they must comply with the domestic requirements of that member state. For UK resident horses an ID-only passport can only be issued by approved PIOs in the UK.
61. If a PIO receives a passport application for a horse which died before it could issue the passport and there is a microchip, then the PIO should put the passport details on its database, showing the date of death, microchip and all other details so that this can be uploaded to CED, thus capturing the microchip. However, it is not necessary to produce a physical passport (just the virtual one).

Issuing Duplicate and Replacement passports for late applications and lost passports

62. The 2016 Regulation (notably Articles 29, 30 and 32) requires a so-called Duplicate or Replacement passport to be issued in certain situations, including (counter-intuitively) as a *first* passport where it is issued late.
63. Owners requiring a Duplicate or Replacement passport for a UK-resident horse must complete an application form and a veterinary surgeon will need to confirm that all details describing the horse on the markings section are correct. Where a UK-resident horse had a passport issued in another Member State, the owner may obtain a Duplicate passport from the UK PIO that holds their details if the foreign PIO does not wish to issue the Duplicate passport.
64. For horses resident in another member state, owners may require a Duplicate passport from the UK PIO that first issued the passport (as it holds the original details) and should take similar action. Alternatively, another Member State PIO or Authority may issue the passport instead using the original UELN number.
65. Before issue the PIO must stamp and sign all Replacement and Duplicate passports (Part II of Section II) to declare that the horse is not intended for human consumption. This includes passports issued to replace pre-2016 passports without a Section IX.
66. PIOs must stamp the front page, silhouette and, if present, Section V of any Duplicate or Replacement passport as “Duplicate” or “Replacement” as appropriate prior to its issue.

Late Passport Applications

67. A passport is only classified as “late” if it is *issued* more than 12 months after the horse’s date of birth. Owners are required to ensure PIOs receive their applications within 6 months of birth or by 30 November of the birth-year to give the PIO reasonable time to process and issue the passport in time. If an owner misses their deadline they may not be complying with legislation but the passport should only be a Duplicate or Replacement if issued later than 12 months after birth. If an owner submits an application in time but the PIO issues it more than 12 months after birth, the passport will still have to be treated as late but their PIO approval may be removed if this happens repeatedly.
68. If a passport is issued late for a horse which is eligible for immediate inclusion in a studbook then a Duplicate passport may be produced by a relevant breed society for that animal.
69. If a passport is issued late for a horse which is not eligible for immediate entry into a studbook, then a Replacement passport can be produced by any UK PIO designated to produce passports for “breeding and production” animals.

Table summarising type of passport to issue for late passport applications

| Situation | Registered Horse (microchipped): | Breeding and Production Horse (microchipped): |
|---------------------------------------|--|---|
| Late issue (after 12 months of birth) | Duplicate passport if eligible for immediate entry into studbook Replacement passport if not eligible for immediate entry into studbook | Replacement passport |

Lost Passports

70. Please note that the UK is **not** using the Article 31 derogation in the 2016 EU Regulation which permits a 6 month suspension only of food chain eligibility when a passport is lost. Following any loss of the passport, a Duplicate or Replacement **must** be issued and the animal irreversibly excluded from the human food chain.
71. Where the passport is lost **and the identity of the animal can be established**, notably through its implanted microchip number and/or a properly completed outline diagram (re-confirmed by a vet) kept by the PIO, a **Duplicate** passport must be produced by:

- a. For “breeding and production” (see Glossary at Annex 1) horses resident in the UK, any UK PIO approved to produce passports for ID-only animals. However, if an owner doesn’t have information on the microchip or UELN (which the PIO could search for on CED), they will need to go to the original PIO that issued the passport as they will hold the markings information (not on CED).
 - b. For “registered” (see Glossary at Annex 1) horses, either a breed society that maintains a studbook that the horse has been entered or registered in, or is eligible for entry; or by the national branch of an international organisation or association which manages horses for competition or racing. However, the original PIO that issued the passport should have the original markings so can more fully check the identity of the horse
72. If an owner has lost their ID-only passport but want a to apply for a registered passport instead of an ID-only passport, then the PIO should issue a Duplicate registered passport with the original UELN instead of a Replacement passport. The owner will need to prove registered status e.g. by a covering certificate.
73. If a passport is lost for a horse resident in another EU member state and its microchip shows that the original passport was issued by a PIO in the UK, then that UK PIO is required to issue the Duplicate passport using the details on its database, unless the EU PIO also has the details on their database. The original PIO will be able to check the markings of the horse,
74. If a UK resident horse loses its passport issued by another EU country and is a pedigree, they can request a Duplicate from an EU PIO if a UK PIO does not have the necessary details on its own database from over stamping.
75. If a UK resident horse loses a valid passport issued by a recognised body in a Third country, the owner can obtain a new passport from that recognised body but the UK PIO should mark that passport as a Duplicate and sign it out of the foodchain. A microchip is not needed.
76. In all cases the **original UELN** must be recorded in the Duplicate passport.
77. If a passport is subsequently found, the owner must send it back to the PIO that issued it so it can be destroyed. If that PIO no longer exists they should return it to the nominated successor PIO (see Defra website)
78. Where the passport is lost **and the existing identity cannot be established** by a microchip or a properly completed outline diagram then a **Replacement** passport must be issued.

Table summarising type of passport to issue following loss of passport:

| Situation | Registered Horse (identifiable from microchip or diagram) | Breeding and Production Horse (identifiable from microchip or diagram) | Horse whose identity cannot be established through its microchip or diagram |
|---------------|---|--|---|
| Lost passport | Duplicate passport | Duplicate passport | Replacement passport |

Reissuing Passports

79. A passport may be reissued in the following situations permitted by the 2016 EU Regulation:
- a. where a horse is imported from a Third country and the existing passport has been issued by a recognised body, has a medicine record indicating Food chain eligibility but cannot be amended so that it complies with article 7(2) of the EU Regulation, then a UK PIO can reissue a New passport provided that is done within 30 days of completing the customs procedure (if this deadline is missed or food chain eligibility is unclear, then a Duplicate/Replacement passport must be issued – see Section on Imported Horses);
 - b. to replace a passport that is damaged but remains fully bound, clearly legible in all parts, free of any signs of fraud and a re-issue is needed to ensure its ongoing security;
 - c. when an ID only passport needs upgrading to registered passport but the original passport cannot be adapted (but see also paragraph 72);
 - d. minor errors were made by the PIO in the issue of the original passport which need to be corrected;
 - e. when a passport is confiscated by an official body as part of an investigation (so horse remains identified).
80. A re-issued passport must reflect the **food chain status** from the original passport and should have the same **date of issue** as the original passport (or it may inadvertently be flagged up as “late”).
81. The original passport must be invalidated and (if it cannot be stored securely) destroyed. However, if requested the passport can be returned to the owner for safe keeping provided all passport pages have been invalidated. The PIO reissuing the passport should also notify the PIO that first issued the passport if necessary so they can update their database.

82. Finally, the reissuing PIO should update CED by selecting the New (reissue) option. CED will automatically cancel the previous CED record.

Updating passports

83. In particular, owners must ensure that the following details in the passport are at all times up-to-date and correct:
- a. Food chain status
 - b. Microchip code
 - c. Status as “registered” or “breeding and production”
 - d. Owner details
84. A person who transfers a horse to another person must give them the passport at the time of transfer. New owners should then notify the PIO of the **transfer of ownership** within 30 days of the transfer (a legal requirement in England with penalties for non-compliance) and provide their name, address and contact details. This also applies to those, e.g. dealers, who only possess the horse for a short time period. Where charities receive horses on welfare grounds they can notify the transfer of ownership within 30 days of legal confirmation of ownership. Owners must send the **physical passport** to the PIO for updating – it cannot be done online without the passport.
85. Changes of ownership notified to a PIO must be entered into Section IV, or for older passports Section III of the passport where it has been provided. Ownership details must not be removed from passports or deleted from records, except where the entire record is being destroyed.
86. Where an *existing* owner changes their address or contact details, PIOs may decide themselves whether or not to require the owner to send in the physical passport. However, this is strongly recommended so that the address in the passport can be updated officially to match that on the PIO database and CED.
87. In addition, where any of the passport details referred to in Article 38(1) of the Regulation (see paragraph 15) change, the owner should submit the passport to a PIO for updating **within 30 days** of the change occurring. Owners will probably approach the original PIO that first issued their passport but under the EU Regulation they may approach any UK approved PIO. This is now possible because PIOs can access all passport records (from the microchip or UELN number only) on CED. However, only the original PIO will hold the silhouette drawing and so they will need to handle any changes to this. CED keeps an audit trail of all users who make changes to any passport record to prevent fraudulent activity and also flags up unusual patterns of activity for further investigation. In addition, when a PIO updates

the record of a passport it did not issue, CED will automatically notify the PIO that originally issued the passport of the change

88. However, where a horse has received medications which are not permitted for animals intended for slaughter for human consumption the keeper must inform the PIO **within 14 days** from the date of signature in Section II Part II of the horse's passport so the PIO can update their database and CED to show the (irreversible) loss of food chain eligibility. It is acceptable for the owner to email a photo of the signed out page to the PIO.
89. Any updates to a passport must be endorsed and dated with the PIO's official stamp. Embossing stamps are acceptable so long as they produce a clear stamp.
90. If a stamp is used to endorse a sticker then the stamp must overlap the label onto the page. This is with the exception of updating a horse's name and ownership details, where the PIO's stamp may be solely on the sticker so long as that sticker contains the animal's UELN and microchip number.
91. If alterations are made to a passport, it must be clear what these mean for the food chain status of the animal. Ambiguous or confusing markings in Section II or the pre-2016 Section IX will lead to the animal being deemed unfit for human consumption.
92. If a microchip is inserted into a horse previously identified before July 2009, this becomes part of the animal's identity. Please see the Section on "Requirement to implant a microchip" for further guidance on how to update the passport (Re-issue not required).
93. Where a PIO is satisfied that the updated information provided is correct they must normally complete any passports updates, including change of ownership, **within 10 working days** of receipt of all necessary information and fees. Database records must also be updated and CED must be updated **within 24 hours** (of a working day) of creating the change on the PIO database.
94. It is accepted that in **exceptional circumstances** more time may be necessary to update a passport. If the PIO is unable to update ownership within 10 working days and there is no suspicion of fraud, a **temporary document** (see later Section on Temporary Documents) must be issued which conforms fully to the layout proscribed in Annex III of the 2016 EU Regulation.

Overstamping

95. In the following situations a PIO will need to register an existing passport issued by a different PIO:
 - a. When a horse needs to be registered with a particular studbook/PIO in order to take part in competitions/events etc

- b. When a UK-resident horse has a passport issued by a studbook outside the UK
 - c. When a horse is imported from a Third Country with a valid passport (see Section on Imported Horses)
 - d. When a horse enters the UK, with a valid EU passport and stays for more than 90 days (The horse does not need to be registered if it is involved in breeding, competitions, races, shows, training or hauling for a period in the UK not exceeding 90 days)
96. In all these cases the PIO should “overstamp” the passport by stamping Section I Part C (or Section V if necessary) and enter the passport details in its own database. For parts (b) - (d) above the PIO should upload the passport details to CED as a “New” record as CED needs to include all horses resident in the UK. This is not necessary for part (a) as CED already has a record of the animal from a previous UK PIO.
97. PIOs should have procedures in place to cater for these cases where a horse is registered with more than one breed society. In such cases there should only be one passport and only one UELN issued for any horse.

Imported Horses

98. If a horse is imported from a third country with a passport that is valid under EU law - issued by a recognised body (see Section on definitions) and complies with format required by Article 7(2) of the 2016 Regulation – then the PIO should register the horse on its database and upload it to CED as a ‘New’ record. The food chain status from the passport should be recorded.
99. If the passport was issued by a recognised body and can be amended so that it complies with the Article 7(2) format then the horse should be registered and uploaded to CED in the same way. If the food chain status is not clear then the PIO should sign the animal out of the food chain in the passport and on CED.
100. If the passport was issued by a recognised body but cannot be amended to comply with the Article 7(2) format then the PIO will need to either reissue the passport if the food chain status is clear from the medicine record, or issue a Duplicate/Replacement passport if the status is not clear. The former should be added to CED as a New passport and the latter as a Duplicate or Replacement passport.
101. If the passport was not issued by a recognised body then the PIO should issue a Duplicate or Replacement passport.
102. Where a passport is to be issued, the owner should submit an application form and arrange microchipping. If a Duplicate or Replacement passport is being issued the

horse must be signed out of the food chain on both the UKCED and at Part II Section II of the passport.

103. PIOs creating records for imported horses should communicate the changes made to the PIO in the country with whom the horse was first registered.
104. If a horse arrives in the UK with a valid EU passport and stays for more than 90 days the passport should be registered with a UK PIO and uploaded to CED as a New record (see Section on Overstamping).

Table summarising registration/passport requirements for imported horses.

| Passport accompanying imported horse | Passport registered/issued within 30 days of clearing customs | Passport registered/issued "late" i.e. after 30 days of clearing customs |
|---|---|--|
| Valid passport (issued by recognised body at Art 14(a) and format follows Art 7(2)) | Overstamp existing PP and register on PIO database/CED | Owner must apply for Duplicate |
| Passport (issued by recognised body) can be amended so complies with Art 7(2) format | Overstamp existing PP and register on PIO database/CED; If food chain status can't be confirmed from passport, PIO should sign Section II of the amended passport to exclude from human consumption | Owner must apply for Duplicate (if has covering certificate/DAM identified) otherwise Replacement |
| Passport (issued by recognised body) but can't be amended to comply with Art 7(2) format. | Owner must apply for a reissued New passport If food chain status cannot be confirmed from original passport, PIO should sign Section II of the re-issued passport to exclude from human consumption | Owner must apply for Duplicate if has covering certificate/DAM identified) otherwise Replacement |
| Passport not issued by recognised body. | Owner must apply for Duplicate if has covering certificate/DAM identified) otherwise Replacement | Owner must apply for a Duplicate if has covering certificate/DAM identified) otherwise Replacement |

Death or slaughter - Invalidating passports

105. Whenever the Food Standards Agency enters a slaughter date for an horse onto the CED, the CED will automatically generate and send on the same day a notification email to the PIO that first issued the passport or to the last PIO that updated the passport if that is the case. This email will inform the PIO of the UELN of the slaughtered equine and date of slaughter and the PIO should then update the records on its own database.
106. If appropriate, the PIO should also inform the PIO that first issued the passport and (if possible) any other PIOs that have over stamped the passport, of the death so they can also update their records.
107. The FSA will invalidate passports of slaughtered horses (by clearly tamper proof stamping them as “invalid” on every page or punching a hole of appropriate diameter through the top right hand corner of every page.) and return them to the UK/EU PIO that first issued the passport (or if that is no longer operating to the PIO that now manages the records) as soon as is reasonably practical. However, some passports may be retained for longer if the animal was sampled for any reason. Also, potential cases of fraud identified at the abattoir are reported to the local authority who may require the passport as evidence. This will also delay the return of the passport.
108. When a PIO is notified of the **death** (rather than slaughter) of a horse on its database, this notification must be recorded on that database and CED must be updated within 24 hours.
109. Upon receipt of the passport of a deceased or slaughtered horse the PIO must check the passport for consistency with existing records and other signs of fraud as outlined in the Section on Detecting and Preventing Fraud. For a deceased horse, the PIO must invalidate the passport by clearly tamper proof stamping it as “invalid” on every page or punching a hold of appropriate diameter through the top right hand corner of every page.
110. The passports of deceased or slaughtered animals may be returned to the horse’s owner or keeper on request following invalidation. A detailed record must be kept of all such passports as described in paragraph 16.b of this document.
111. If a passport is not returned to the owner or keeper it must be kept securely for 2 years after death and then may be destroyed. As an exception to paragraph 17 of this document (which requires passports to be kept for at least 2 years from the date of death), sections whose information is held on the PIO’s database may be

destroyed immediately without the need for the invalidation mentioned in paragraph 109.

112. If on the return of the passport for a deceased horse it is noticed that a microchip has been added to the passport that has not previously notified to the PIO and recorded, then the PIO should add the microchip to the deceased horse's record /CED so it may not be fraudulently re-used.

Derogated populations

113. Horses living under wild or semi-wild conditions in derogated areas do not need to be issued with a passport whilst they remain in the designated area unless medicines are administered. An owner must ensure that a horse is microchipped and has a passport issued within 30 days of treatment with any veterinary medicinal product. Depending on the medicine used, it may need to be signed out of the human food chain.
114. However, if they are moved from the designated area the following requirements apply for derogated areas in England and Wales:
 - a. a wild or semi wild foal less than 12 months of age moving direct to slaughter which has not previously been treated with any veterinary medicinal product: requires only a rump sticker (a microchip is not required) and (in Wales only) a completed application form linked to the rump sticker. The horse must be slaughtered within 7 days of the date shown on the sticker. (In Wales, once the animal has been destroyed, the slaughterhouse is required to inform the PIO that provided the application form /rump sticker of the slaughter. If the PIO is not informed of this within 7 days of the sticker date then the PIO notifies the local authority);
 - b. a wild or semi wild equine older than 12 months of age moving direct to slaughter: requires the PIO to issue a passport and rump sticker (a microchip is not required) before it is moved from a designated area. Please note that the passport is not considered "late" under the derogation and so a Duplicate/Replacement is not required and the animal remains eligible for the human food chain. (Unless it has been signed out on an existing passport, e.g. as medicine administered, and then returned passported to a semi-wild state) The equine must be slaughtered within 7 days of the date shown on the sticker. (In Wales, once the animal has been destroyed the slaughterhouse is required to notify the PIO that provided the application form /rump sticker of the slaughter. If the PIO is not informed of this within 7 days then the PIO notifies the local authority);

- c. a wild or semi wild equine of any age moving to another holding (not direct to slaughter): requires the PIO to issue a passport and rump sticker (or microchip) before it is moved from the designated area. (Please note that the passport is not considered “late” under the derogation and so a Duplicate/Replacement is not required and the animal remains eligible for the human food chain.) The owner/keeper must ensure the horse reaches its holding destination within 7 days of the date shown on the sticker. A microchip must then be inserted within 30 days of arrival (movement is not permitted until this is done). In Wales, horses sold to private homes (i.e. not for slaughter) at any derogation sale must be microchipped before they leave the sale premises.
115. The England SI allows a horse to be kept or penned in a holding area within a designated area whilst awaiting the issue of the passport, if the application is submitted within 24 hours of the horse’s entry onto the holding area. This provision is included to help owners be able to comply with the EU Regulation but its use is optional.
116. Rump stickers must only be issued to animals being moved from designated areas. The use of rump stickers is a derogation from the requirement to microchip, therefore a rump sticker is not required where a microchip has already been inserted.
117. PIOs must keep a record of the name and contact details of the owner of any horse for which they issue a rump sticker.
118. PIOs must keep detailed records to include details of the authorised person issued with the sticker; issue date; date of sticker application to the horse, sticker unique identification number and where relevant the name of the intended slaughterhouse and microchip number⁶. In most cases the FSA receives the horse with the rump sticker on the day of application or the day after. For animals not going to slaughter (part (c) above), the PIO should enter the passport record on CED once the microchip number is known. If the passport has been issued more than 12 months after the birth of the horse and it is not being signed out of the foodchain for any reason, then the PIO will need to select the appropriate derogation on CED to prevent it being signed out on the basis of being “late”.
119. Regulation 17(4) of the 2016 EU Regulation says that even if a semi-wild pony has previously had a microchip inserted it can still be given a “New” passport. This differs from requirements for non-semi-wild ponies where a microchip may be evidence of a previous passport having been issued. The microchip number administered to semi-wilds does need to be registered with the PIO and included on their database. If the PIO is not the organisation that holds the list of the animals then arrangements must be made to accommodate this requirement.

Requirement to implant a microchip

120. An owner (or keeper) must arrange for a veterinary surgeon to implant a microchip (transponder) into a horse that has a valid passport if:
- a. A previously implanted and recorded microchip ceases to function. PIOs should ensure that both microchips are recorded on their database in case the first microchip resumes functionality (Not a mandatory requirement in NI at present);
 - b. **(new requirement for owners in England with effect from 1 October 2020)**
The horse was **born before 1 July 2009** and did not have a microchip implanted previously in accordance with Commission Regulation 504/2008. The Welsh Government expect to introduce a similar requirement in due course; or
 - c. The horse arrives in the UK with an alternative method to verify identity authorised by another Member State under Article 21 of the 2016 Regulation.

The following table shows the process to follow for (a) and (b):

| Reason for microchip | Horse can be identified through a properly completed silhouette | Horse cannot be identified through a properly completed silhouette |
|---|--|--|
| <p>(a) Existing microchip ceases to function</p> | <p>Veterinary surgeon must: implant a new microchip, mark the silhouette in the passport with the new microchip insertion point, complete Section I Part (c) to show modification to ID details, insert the barcode label in the passport, and stamp and/or sign by the barcode in the passport. These should be sent to the original issuing PIO (i.e. application form not required).</p> <p>If the insertion point of the previous defunct microchip is not clear on the silhouette diagram then the PIO should sign the animal out of the foodchain by signing and stamping Section II Part II. The PIO should update their database and CED but should not delete previous microchip numbers.</p> | <p>Vet surgeon must implant a new microchip and complete the relevant sections of a new application form, to be sent to any PIO.</p> <p>PIO should issue a Replacement passport. PIO database and CED must be updated. (Don't delete previous microchip numbers)</p> <p>The original PP must be returned to PIO for invalidation. It must not be returned to the owner.</p> |

| | | |
|--|---|---|
| | <p>If the passport can't be amended (e.g. for passports issued since 2015 where sections are laminated), then the PIO will need to issue a Duplicate passport (if the insertion point of the defunct chip is not clear on the passport) or a New Reissue (retaining previous food chain status) if it is clear. The original PP must be returned to PIO for invalidation</p> | |
| <p>(b) Horse born before July 2009 and either been (i) microchipped but not for ID purposes, or (ii) never microchipped</p> | <p>(i) If a horse has been microchipped previously and the barcode is in the passport, then the original PIO just needs to update its database /CED with the microchip. The owner can email a scanned copy of the passport as proof. Food chain status remains unchanged.</p> <p>The PIO must update its database and CED with the new microchip number.</p> <p>(ii) If a microchip has <u>not</u> been inserted previously, the veterinary surgeon must implant a new one, insert the barcode label in the passport, and stamp and/or sign by the barcode in the passport. The owner must then notify the PIO by:</p> <ul style="list-style-type: none"> a) Sending in the passport; or b) Sending a scanned copy of the passport; or c) Emailing lists of UELN's or breed society numbers against each barcode number; or d) Posting lists of UELN's or breed society numbers against each barcode number <p>Food chain status remains unchanged.</p> <p>The PIO must update its database and CED with the new microchip number.</p> | <p>In either case a veterinary surgeon must either verify an existing microchip or implant a new one and complete the relevant sections of a new application form, to be sent to any PIO. The PIO should issue a Replacement passport. The original PP must be returned to PIO for invalidation.</p> <p>The PIO must update its database and CED with the new microchip number.</p> |

121. For scenario (c) (imported horse) a veterinary surgeon must implant a new microchip and complete the relevant sections of a new application form, to be sent to **any** PIO

or to the appropriate breed society, if applicable . Where the horse has a valid passport (see Section on Imported Horses) the existing passport should be updated with the microchip number and food chain status retained. Where this is not possible, the PIO should reissue the New passport retaining the food chain status. If the passport is not valid (not issued by a recognised body, food chain status not clear and incorrect format) a Duplicate or Replacement passport should be issued.

Pre-2016 Passports without a Section IX (Medicinal Treatment Pages)

122. Where the PIO's records indicate that a passport issued before 10 June 2004 has not been updated to add in the required Section IX, the PIO must send a letter informing the owner that they need to update that passport as it is no longer valid.
123. Upon its return, the PIO must issue a Duplicate or Replacement passport in accordance with Article 29 or 32 of the 2016 EU Regulation and in either instance sign the animal out of the human food chain in Part II of Section II of the passport. These animals must be signed out of the food chain because in the absence of Section IX it is not possible to determine if the animals have been treated with a substance that cannot be administered to food producing animals.

Temporary documents

124. Temporary documents must only be issued in exceptional circumstances. They must not be issued where fraud is suspected.
125. To comply with the 2016 EU Regulation Article 24(1) temporary documents must not be issued unless the PIO holds the full passport for the animal concerned. The full passport must be retained by the PIO until either the owner returns the temporary document or the temporary document expires. After this, the PIO should return the full passport to the horse's owner.
126. Temporary documents must be clearly printed with all information required by Annex III of 2016 EU Regulation including a clear expiry date not exceeding 45 days from issue.
127. Temporary documents must be stamped with the PIO's official stamp and contain a watermark, embossed stamp or hologram. This is to protect against fraud and aid in the identification of valid documents.
128. Details of any temporary document issued by a PIO must be noted on its database as described in paragraph 16d.

129. PIOs must contact owners within 10 working days of the temporary document's expiry date if the owner has failed to return it. This is to minimise the risk of fraud by reducing the number of expired temporary documents in circulation.
130. PIOs must inform customers issued with a temporary documents that:
 - a. If a horse's permanent passport is not immediately available to a veterinary surgeon, medicine that would exclude that horse from the food chain cannot be administered.
 - b. Horses may not be moved between countries or to slaughter on a temporary document.

Smart Cards

131. Smart cards are an additional identification method permitted by the 2016 EU Regulation.
132. The Scottish Government will give horses with passports issued by Scottish PIOs the option to purchase a smart card but this has not been made available in England, Wales or Northern Ireland for the time being.
133. Horses with smart cards issued by Scottish PIOs are able to travel anywhere in Scotland without the need to be accompanied with the passport. However, they must be accompanied by the passport if they travel outside Scotland or are bought or sold.
134. The smart card cannot be used as a substitute for the passport when accompanying the horse to slaughter. The passport must always accompany the horse to slaughter.

Working with CAs, enforcement agencies and horse owners

General Obligation

135. All PIOs must cooperate with the CA. Failure to do so may result in suspension or withdrawal of approval to issue passports, and for breed societies suspension or withdrawal of recognition under Commission Decision 92/353/EEC. See Section] on Approval of PIOs

Contact Details

136. Each PIO must have a single mobile or landline telephone number and single corporate email address. These contact points must be accessible by several members of staff. Calls or emails may be referred or automatically transferred to another member of staff if necessary.
137. PIOs must publish the names and contact phone numbers of their officers on their website.
138. The contact details mentioned in paragraph 136 must not change without exceptional reason. They must not be regularly altered and must remain the same regardless of staff absences. The relevant CA must be informed prior to any such change using the contact details at the start of this document.
139. PIOs must act in accordance with the [Data Protection Act 2018](#) and GDPR in all contact.

Dealing with enquiries from CAs and enforcement agencies

140. PIOs must provide their respective CA with details of their registrar or secretary and inform that CA of any change to these details using the contact information on page 2 of this document.
141. Where a PIO receives a request for personal data from an enforcement agency for example Food Standards Agencies, Local Authorities, Animal and Plant Health Agency, Police, DARD Veterinary Service Enforcement Branch or the courts it must consider the request under the [Data Protection Act 2018](#)¹ and, in particular, consider whether the exemption provided for in Schedule 11 (data processed for the prevention of crime etc) applies. Where the criteria of the exemption are met, PIOs would be expected to release the information requested directly to the requestor. Please note that PIOs are expected to work in support of the CA and enforcement authorities in enabling the efficient and effective operation of the regime.
142. PIOs are expected to respond to information requests of any format from CAs and enforcement bodies within 24 hours (of a working day). Where the requested information is not available a nil return must be sent so that the CA or enforcement body is aware that the request has been received and acted upon.

¹ Information on how to handle personal data, including how to process [Section 29 requests](#), is available from the [Information Commissioners Office](#).

143. Following a request in writing from the PIO, the CA may extend the deadline within which the PIO is required to provide information in paragraph 142. If granted, any extension of time will be notified to the PIO in writing,
144. PIOs must be able to provide any non-personal data that can be reasonably expected to CAs when requested and within a specified time frame.
145. Under the existing European legislative framework, PIOs can be required to provide information to any CA designated Central Equine Database in a format and timescale that is in accordance with any written notice served by the CA.
146. PIOs should be able to deal with most passport enquiries. However, if they are unable to do so, enquiries from members of the public should be referred to the CA public helpline. Contact details are provided at the start of this document.

Dealing with general enquiries

147. PIOs must be able to answer the telephone number in paragraph 137 between the hours of 10am and 4pm every working day as a minimum. During this time, the telephone must be staffed by a trained individual who has access to the PIO's database and is able to supply information as requested².
148. An answering service must be available during working hours. Outside working hours this should provide a recorded message to inform callers of working hours.
149. All messages left on answering services must be returned within 1 working day of receipt. If this is not possible, details of any office closures should be made available on the PIO's website.
150. Written correspondence including emails must be answered within a maximum of 15 working days of receipt. In exceptional circumstances where this deadline cannot be met, a holding reply explaining the reason for delay must be sent within 5 working days.
151. Each PIO must have written complaints and appeals procedures that are displayed publicly on the PIO's website. They must include at least:
 - a. That written acknowledgement of receipt of the complaint or appeal will be provided by return;
 - b. Written confirmation to be provided within 15 working days of how the complaint is to be dealt with;

² To help meet this requirement, organisations may create a shared database.

- c. Written confirmation of the outcome, including any procedures to appeal that outcome.

Detecting and preventing fraud

152. PIOs must carry out reasonable checks to ensure that passports and passport applications are valid and correct. This must include checking applications and returned passports against existing records and sample passports for consistency.
153. PIOs must be aware of and where appropriate act upon signs of fraud, which might include:
 - a. Unusual volumes of registrations which cannot be explained.
 - b. Where foals are declared as born outside the normal foaling season.
 - c. Where a number of application forms are submitted by the same breeder or agent for horses purporting to be born on or around the same date.
 - d. Where a passport has been issued by a PIO that is not approved by the CA.
 - e. Where there are any inconsistencies on passports or change of detail applications, particularly where a passport is purporting to have been issued by a PIO that has lost its approval or a passport has been returned following slaughter.
 - f. Signs of unofficial changes including handwritten amendments, variation in paper quality, changes that have not been stamped by the PIO or bindings that are incomplete or faulty.
 - g. Evidence that veterinary information has been altered by someone that is not a vet. This could include evidence of applications being altered after a vet's signature; unfamiliar stamps claiming to be those of specific veterinary practices or variations in the signature of a particular veterinary surgeon. PIOs can check whether a person is registered with the RCVS using their [database](#).
 - h. The addition of additional or subsequent microchip to a horse.
 - i. The return following slaughter of an original passport where a Duplicate passport has been issued to the same animal.
154. The list of signs of fraud is intended as a guide. It is accepted that for particular groups of horses, practices outlined in parts a - c of paragraph 153 may be commonplace and therefore not warrant noting. Similarly, there may be indicators that particular PIOs feel should be checked for as part of their own practices.

155. Any evidence of modification, tampering or fraud including Sections II and IV (and pre-2016 Section IX) anomalies must be noted on the PIO's database as described in paragraph 16.a.
156. If a passport is identified as suspect the PIO should immediately refer it to their horse passports enforcement authority³.
157. If a PIO has evidence that an individual or group may be involved in horse passport fraud it must report this immediately to its enforcement authority⁴.

Breaches of the regulations

158. PIOs are encouraged to liaise with their Local Authority to discuss and agree how to work together. In England the new 2018 regulations introduce new civil sanctions in addition to criminal sanctions, which give more flexibility to LAs when addressing non-compliance.
159. Any referrals may be by secure telephone, email or post. Care must be taken to ensure that all such communications comply with the [Data Protection Act 2018](#)
160. Upon receipt of information the Local Authority will record it and assess whether enforcement action is appropriate. The information will, if necessary, be passed to the Local Authority for the area in which the offence may have taken place. Follow up action by Local Authorities will be taken in line with the authority's enforcement policy.

Business continuity

161. PIOs must have documented procedures in place to ensure that the expectations in this document can continue to be met in the event of disruption to business. This must include back-ups for electronic databases and arrangements for staff cover in the event of absences or holiday. In the case of extreme weather conditions, these procedures might include provisions for a member of staff to take calls from home or to place a notice on the organisation's website.

Business activity

162. PIOs must be actively trading.

³ In England, Scotland and Wales the enforcement authority is the Local Authority for the area in which the organisation operates. Enforcement is usually managed by the Trading Standards Service or Environmental Health Department. In Northern Ireland the enforcement authority is DARD Veterinary Service Enforcement Branch who can be contacted via the DARD helpline on 0300 200 7852.

Procedures on ceasing trading

163. If a PIO ceases trading it is important that passports issued by them can still be maintained. It is therefore a requirement that all PIOs have a clear documented plan in place for transfer of the passport maintenance part of their business to another approved PIO should they cease trading or lose their CA approval. This plan must clearly identify the PIO nominated to take over passport management and put arrangements in place to ensure a smooth transfer of records.
164. **By end March 2019**, all PIOs must inform the CA for their territory of which PIO they have nominated to take over their passport management (if required). If, at a later time, the nominated PIO is for whatever reason no longer able to take on that work then another PIO must be nominated in its place. The PIO should inform the CA of any change within 7 days.
165. If a PIO is to cease trading it should take the steps outlined in its transfer plan.
166. A PIO is expected to provide the CA with a copy of all its horse records in an electronic format as requested by that CA in the event that it ceases to manage horse passports and the information is not transferred to another approved PIO. Contact details for CAs are provided at the start of this document.

Approval of PIOs

167. This document aims to enable PIOs to meet CA expectations with regards to operating efficiently, by setting out the minimum standards necessary to ensure efficient operation of the UK equine identification regime as a whole. These expectations include, but are not limited to, availability for contact for enforcement purposes and detection and management of fraud.
168. In order to ensure protection of the human food chain and compliance with European legislation, the CA reserves the right to audit any approved PIO at any time to ensure that these guidelines are being adhered to. Reasonable notice of an audit visit will normally be given and PIOs must agree to such a visit.
169. PIOs approved in the UK must be capable of being audited within the UK.
170. CAs do not currently have specific and direct legal powers to charge for auditing but reserve the right to introduce such powers at a future date.
171. Consistent failure to comply with any requirements in the regulations, this document or to cooperate with the CA may result in the withdrawal of their approval. Depending on the seriousness of the failure, the CA may:

- a. For minor failings, give clear notification of the areas where improvement is needed and a period of time that the CA considers reasonable to act. The timescale for improvement will depend on the seriousness and frequency of the failing. If sufficient improvement is not made within that timescale, the CA may suspend or withdraw approval.
 - b. In the most serious cases, remove approval immediately. These include but are not limited to potential breaches of horse passports or data protection legislation, a large number of shortcomings or failure to implement any improvements which have been requested by the CA within the timescale set. In these cases, PIOs will be given clear reasons for the decision to withdraw approval.
172. PIOs have the right to make a representation against a decision to withdraw approval. Details of how to make such representation can be found in Annex 3 of this document.

Annex 1: Glossary of terms

“breeding and production horse” – in simple terms this is a horse that isn’t a “registered horse” (see below) and only requires an **ID-only passport**. A definition is also given in Article 2 of the 2016 EU Regulation.

“Duplicate passport” – a passport (irreversibly excludes equine from the food chain) issued in at least the following situations:

- a) A first passport issued late (i.e. more than 12 months after date of birth) for a registered horse eligible for inclusion in a studbook;
- b) A subsequent passport issued when a passport is lost but the equine can be identified (from microchip number or a properly completed outline diagram). This may include rescued equines;
- c) A subsequent passport issued when enforcement bodies identify discrepancies in the first one.
- d) A subsequent passport issued when a microchip cannot be located but the equine can be identified from a properly completed silhouette.

“ID-only passport” – a passport issued for a non-registered (i.e. “breeding and production”) horse

“New passport” - a passport that is issued within statutory deadlines (i.e. issued within 12 months of birth) or which is issued for wild or semi wild equines of any age when they are moved from designated areas or brought into domestic use. This term is also used on CED when uploading existing passport details for an imported horse or a horse that has moved to the UK from another Member State

“Re-issued passport” – a passport (maintains previous food chain status) re- issued in the following situations:

- a) A reissue of a foreign passport by a UK PIO within 30 days of completing the customs procedure for an horse imported from a third country where the passport was issued by a recognised body (Art 14(a) of the 2016 regulation), food chain status is clear but the existing passport cannot be amended to comply with article 7(2) of the 2016 EU Regulation;
- b) A subsequent passport issued when a breeding and production horse is upgraded to a registered horse and the existing passport cannot be adapted;
- c) A substitute passport for one that is damaged but remains fully bound, clearly legible throughout and free of signs of fraud;

- d) An amended passport to correct minor errors in the original;
- e) A re-issue of a passport confiscated as part of an investigation.

“registered horse” – in simple terms, a registered horse is one that is registered in a breed studbook and which needs more sections completed in the passport, to prove its genetic heritage. More specifically the 2016 Regulation (Article 2) defines registered equidae as those:

- (i) entered or registered and eligible for entry in a studbook, in accordance with the rules laid down pursuant to Article 4(2)(b) of Directive 90/427/EEC and identified by means of an identification document provided for in Article 8(1) of that Directive; or
- (ii) horses, including ponies, registered with an international association or organisation, which manages horses for competition or racing and identified by means of an identification document issued by the national branch of that association or organisation;

“Registered passport” – a passport issued by a studbook/breed society for a “registered horse”

“Replacement passport” – a passport (irreversibly excludes the equine from the food chain) issued in the following situations:

- a) A first passport issued late (i.e. more than 12 months after date of birth) when the equine is not eligible for entry into a studbook;
- b) A subsequent passport issued when a passport is lost, the equine *cannot* be identified (by a microchip number or diagram) and previous passport issue cannot be confirmed. This may include rescued horses;
- c) A subsequent passport issued when a microchip cannot be located and the horse cannot be identified

“UELN” – Universal Equine Life Number comprising of a six-digit UELN-compatible code unique to the PIO and a nine-digit individual identification number assigned to the horse. This number should remain the same for the horse’s lifetime (see Annex II for more details)

Annex 2: Unique Equine Life Number

The UELN system

1. The European Regulation provides the legal basis for the use of a Unique Equine Life Number in all horse passports. A UELN is required to efficiently administer and manage horses within the horse industry. In the UK the UELN system should be used to create the Passport Identification Number on the horse passport.
2. All passports must be issued with a UELN using the first six digits allocated to the PIO at the time of approval.
3. The objective of the UELN system is designed to ensure that each horse in the world can be identified using a single reference number. However, the UELN system enables the historic registration numbers contained in stud books of birth to remain when included within this number.
4. The key principles of the UELN are documented on www.UELN.net, but due to variations in terminology, these guidance notes have been produced to clarify how the UELN is applied within the United Kingdom.
5. A full UELN should only be created when a Passport is issued and the PIOs should ensure that they keep details of the UELN number allocated to each horse passport that they issue.

Example of an UELN

6. The first three digits determine the territory that issued the passport and the second three digits identifies the PIO within that territory that issued the passport. In practice this code will never be maintained as two separate fields and will be issued as a single six digit code. The central UELN register maintains a list of these codes. The remaining nine digits uniquely identify the horse within a PIO.

| | | | | | |
|---|---|---|---|---|---|
| 8 | 2 | 6 | 0 | 0 | 4 |
|---|---|---|---|---|---|

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|---|---|---|---|---|---|---|---|---|

Detailed rules and exceptions

Territory Identifier

7. The Territory Identifier is a three digit numeric code that identifies the territory that is issuing the passport. In the United Kingdom this will always be allocated as the numeric code from ISO-3166 territory table and will consequently be 826. Horses issued with passports of another territory will start with a corresponding three digit numeric from the ISO-3166 territory table. For all historic records of horses where a UELN has not been created, the UELN code for the horse will be that of the Organisation that issued the passport.

| | | | | | | | | | | | | | | |
|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|
| 8 | 2 | 6 | | | | | | | | | | | | |
|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|

8. The UELN system refers to the Territory Identifier as the “Territory of Birth”. If the owner of a foal wishes to obtain a passport from a PIO in another Member State of the European Union, the Territory Identifier will not reflect the “Territory of Birth”. In this instance the best place to record the territory of birth is embedded in the nine digit horse identifier.
9. In some instances a PIO may manage the passports of another territory by appropriate agreement from the relevant international organisation or association for competition or race horse management. In this instance it is the passport territory that is reflected as the Territory Identifier, not the physical location of the organisation. The following are foreign passports that are maintained in Great Britain:

| | |
|------------------------------------|--------|
| Arabs born in Greece | 300002 |
| Arabs born in Malta | 470008 |
| Arabs born in Ireland | 372008 |
| Irish Standard and Trotting horses | 372007 |

Organisation Identifier

10. The second three digits are numerics that have been assigned to uniquely identify the PIO that issued the passport.

| | | | | | | | | | | | | | | |
|--|--|--|---|---|---|--|--|--|--|--|--|--|--|--|
| | | | 0 | 0 | 4 | | | | | | | | | |
|--|--|--|---|---|---|--|--|--|--|--|--|--|--|--|

11. In order to accommodate historic identification numbers of the ISBC for Thoroughbreds, character codes are used e.g. Weatherbys Thoroughbreds use “0GB”. This exception results from the ISBC adopting an alphabetic suffix to

denote territory of birth in 1999. Where there is a two digit code, e.g. GB for Great Britain and FR for France, the code is preceded by a 0 – “0GB” and “0FR”.

Horse Identifier

12. The last nine digits are alphanumeric which uniquely identify a horse that is registered within a particular PIO:

| | | | | | |
|--|--|--|--|--|--|
| | | | | | |
|--|--|--|--|--|--|

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|---|---|---|---|---|---|---|---|---|

13. If the internal reference of the PIO is shorter than nine alphanumeric digits, zeros may be added to the front, to pad out the horse identifier to the required nine digits.
14. If the internal reference is longer than nine digits, look at the composition of this reference and strip out any data that may be part of the identifier but is not required to uniquely identify the horse in your PIO. Occasionally, a date, the sex or the height of the horse may be included as part of the identifier. If this is the case strip out this additional data and provide a unique reference shorter than nine digits.

Further Information

15. More about Unique Equine Life Numbers can be found at www.ueln.net. This website also provides details of the UELN numbers for all approved breed societies and international sport and competition organisations.

Annex 3: Representations

England

Challenges to decisions to withdraw approval must be made in writing within 21 days of receiving written notification of the decision. Notice of the challenge, together with any written representations and evidence in support, must be sent to the Deputy Director of Animal Health Policy and Implementation, Nobel House, 17 Smith Square, London SW1P 3JR. Representations will be processed in accordance with procedures outlined in [The Zootechnical Standards \(England\) Regulations 2018 Article 7](#)

Northern Ireland

Challenges to decisions to withdraw approval must be made in writing within 21 days of receiving written notification of the decision. Notice of the challenge, together with any written representations and evidence in support, must be sent to the Agri-Food Policy 1 Branch, Department of Agriculture, Environment and Rural Affairs, Dundonald House, Upper Newtownards Road, Ballymiscaw, Belfast BT4 3SB. Representations will be processed in accordance with procedures outlined in [The Horses\(Zootechnical Standards\) Regulations \(Northern Ireland\) 2009 Regulation 5](#). These are expected to be replaced by The Zootechnical Standards Regulations (Northern Ireland) 2018 by end 2018.

Wales

Challenges to decisions to withdraw approval must be made in writing within 21 days of receiving written notification of the decision. Notice of the challenge, together with any written representations and evidence in support, must be sent to the Equine Policy Team, Agriculture and Rural Affairs Division, Welsh Government, Picton Terrace, Carmarthen, SA31 3BT; or email: equineIDceffylau@gov.wales; telephone: 03000 255022

Representations will be processed in accordance with procedures outlined in [The Zootechnical Standards \(Wales\) Regulations 2018 Article 8](#)

Annex 4: Frequently Asked Questions

Central Equine Database

Q1. I need to create a record for an owner with an unusual title/name. What do I need to enter onto CED for new records?

For new records the Title field is optional but both the Forename and Surname fields are mandatory and a full first name, not an initial, will be required. PIOs should think resourcefully and enter something in these fields. CED will not abbreviate a forename. If there really is no suitable forename you can enter "none".

Q2. I am aware that an equine has left the country permanently. How do I record this on CED as it does not have an export field?

This should be done by updating CED with the country of country of holding where the horse is now located, and also the new owner name and address if appropriate. However, since 1 January 2016 the country of holding should only be changed to the new country once the passport has been lodged with a PIO in the new country (to comply with Article 27(2) of Commission Implementing Regulation (EU) 2015/262).

We are aware that sometimes a PIO may be notified by a UK owner that they have sold a horse to a new owner in a new country before they have been notified by a PIO in that country (as the passport is not yet lodged with them). In this situation it is acceptable to add a note on the PIO database that the UK owner has reported the export but to change the country of holding only once the passport has been lodged with the PIO in the new country, in compliance with Article 27(2) of Commission Implementing Regulation (EU) 2015/262. This will allow the CEDs in the UK and overseas to be updated at the same time and avoid confusion. In the case of a breed animal being exported the Breed Society will be aware of the export before it occurs as they are responsible for undertaking some of the export paperwork

Q3. What do I put on CED if a horse is found to be alive and I need to rescind a death?

PIOs can update CED to reverse the entry showing the horse to be "dead". This should also be recorded on CED as an "event". The horse should be signed out of the food chain.

Q4. What do I do if PIO has forgotten to advance the UELN on its database, issued the passport correctly with a different UELN but does not know which UELN was issued to which horse. E.g. UELNs in database are 12345 and 12345. Passports issued are 12345 and 12346, but the PIO does not know which horse got which UELN.

The PIO should recall the passports so they can correct their database (a photocopy would be sufficient if timing an issue for going to slaughter or if passport likely to be

needed so the change can be made quickly); the animal does not need to be signed out of the food chain. Once the PIO has corrected its database it should send the correct information to CED

Passports - General

Q5. Can we run an online contact form rather than publish our contact email address on our website?

Yes, a contacts page on your website is acceptable - you must still inform us of any changes to your contact information.

Q6. Is it correct that a passport issued late must be dealt with by issuing either a Replacement or Duplicate passport?

This is correct. We agree this terminology is confusing as this will be a first passport but it is what the EU regulation stipulates. The EU Commission has explained that passports issued late (i.e. more than 12 months after the date of birth) must be dealt with as either a Duplicate or Replacement passport because of the potential risk that a passport may already have been issued for that horse.

Q7. If an owner submits a passport application after the application deadlines will they require a Duplicate or Replacement passport?

Not necessarily. The PIO should only issue a Duplicate or Replacement if the issue date is more than 12 months after the animal's date of birth. For example, if a horse is born on 5 July, the owner has 6 months until 5 January the following year to apply for a passport. If the owner misses this deadline and applies for the passport on 10 January, the PIO will still have (theoretically) until 4 July (12 months after the date of birth) to issue a passport that is not late, although in practise this should be done much sooner.

Q8. We supply an application form and silhouette to our customers- does the Veterinary Surgeon need to sign both forms?

The Veterinary Surgeon is required to check and confirm that the identity details for the horse are correct. You should ensure that your application documentation provides a suitable place for the vet's confirmation and you must check that this has been supplied.

Q9. Which passport sections are mandatory?

- Breed/Registered passports – Sections I to X are mandatory and must be included. Sections XI is optional and may be included.
- ID only passports - Section I to IV are mandatory and must be included. Sections V to XI are optional and may be included but information should not be entered in

Section V. It is recommended that Section VII is included in all passports so that details of vaccines administered may be recorded.

Q10. Can additional non statutory pages be included in ID only passports?

Yes, as well as a title page at the front of the passport, extra pages can now be included to record e.g. height measurements for competitions.

Q11. Can we issue Duplicate passports without receiving a full application form signed by a vet?

No - all passport applications, including applications for Duplicate or Replacement passports must have the horse's identification details confirmed by a vet.

Passports – Identification details (Section I)

Q12. Must entries in Part A be typed?

This is recommended but not mandatory provided the entries are clearly legible..

Q13. What do we do if the date of birth is unknown?

An estimated date must be provided.

Q14. What is the difference between country of birth and place of birth?

Country of birth means the Member State/Third country where the animal was born.
Place of birth means the address of the holding where the animal was born.

Q15. What do we do if the place of birth is unknown?

If the address is unknown you should enter an approximate location, e.g. county of birth. If this is not possible, you may enter the animal's current location instead. **Please note** that CED will automatically rule an animal out of the food chain if "unknown" is selected for country of origin

Q16. Where should additional studbook registrations be recorded?

Details of additional studbook registrations should either be recorded in Section V or in any non-statutory pages of the passport.

Passports - Details of Ownership (Section IV)

Q17. Can ownership information be kept in a separate ownership card?

Yes, however as the passport is likely to still need to be returned to a PIO for updating, it is advised to maintain ownership details in Section IV. Note that you must still include sufficient space in Section IV for ownership details to be recorded for the expected lifetime of the horse.

Q18. If a sticker is used for transfer of ownership can the box in Section IV “stamp of the organisation, association or official service and signature” be left blank?

The box may be left blank as long as the PIO has properly checked information provided, has authorised the change is correct and it is clear from the sticker in the passport that this is the case.

Passports – Certificate of Origin (Section V)

Q19. Can we include an extended pedigree within the non-statutory pages of a registered horse’s passport?

Where an extended pedigree is known you can choose whether to record it either in the statutory section after Section V or as additional pages in the non-statutory section.