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***[1]***Draft ANNEX TO ISPM 20: Use of specific import authorizations(2008-006)

***[2]*Status box**

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| ***[3]***This is not an official part of the standard and it will be modified by the IPPC Secretariat after adoption. | |
| ***[4]*Date of this document** | ***[5]***2022-05-26 |
| ***[6]*Document category** | ***[7]***Draft annex to ISPM |
| ***[8]*Current document stage** | ***[9]****To* second consultation |
| ***[10]*Major stages** | ***[11]***2008-04 CPM-3 added the topic *Use of specific import authorization (Annex to ISPM 20: Guidelines for a phytosanitary import regulatory system)* (2008-006) with priority 4.  ***[12]***2016-11 Standards Committee (SC) approved Specification 64 (*Use of specific import authorizations*) via e-decision (2016\_eSC\_May\_05).  ***[13]***2021-02 Expert working group met virtually and drafted the annex.  ***[14]***2021-05 SC revised and approved for first consultation.  ***[15]***2021-07 First consultation.  ***[16]***2022-05 SC-7 revised and approved for second consultation. |
| ***[17]*Steward history** | ***[18]***2022-05 SC Álvaro SEPÚLVEDA LUQUE (CL, Lead Steward)  ***[19]***2019-05 SC Ezequiel FERRO (AR, Lead Steward)  ***[20]***2016-05 SC Moses Adegboyega ADEWUMI (NG, Assistant Steward) |
| ***[21]*Notes** | ***[22]***2021-03 Edited  ***[23]***2021-03 review by lead steward  ***[24]***2021-05 Edited  ***[25]***2022-05 Edited |

***[26]***This annex was adopted by the XXX Session of the Commission on Phytosanitary Measures in XXX 20XX.

***[27]***This annex is a prescriptive part of the standard.

***[28]***ANNEX 2: Use of specific import authorizations

***[29]***The national plant protection organizations (NPPOs) of importing countries may choose to use specific import authorizations (SIAs) as referred to in this standard (section 4.2.2) when official consent for import is necessary, when import would otherwise be prohibited for phytosanitary reasons, or when phytosanitary import requirements for the particular purpose, articles or situations have not yet been established. Even when using SIAs as part of their phytosanitary import regulatory system, NPPOs are still required to make their phytosanitary import requirements available as described in section 5.1.9.2 of this standard and in Article VII.2(b) of the IPPC.

***[30]***This annex describes situations where the use of SIAs may be required by an NPPO, the information that should be included on SIAs, and the respective responsibilities of the parties involved. Specific import authorizations are generally applied on a case-by-case basis and tailored to each specific import situation. They may be issued for individual consignments or a series of consignments. Although it is noted that some countries include non-phytosanitary requirements in their SIAs, this annex addresses only phytosanitary requirements. This annex does not cover transit authorization. This annex also does not cover information on general import authorizations, which can be found in section 4.2.2 of this standard.

***[31]***1. Types of specific import authorizations

***[32]***Specific import authorizations may be provided in the form of import permits, licences or other types of written authorization as determined by the NPPO of the importing country, and may be in either paper or electronic format.

***[33]***2. Elements of specific import authorizations

***[34]***When SIAs are used, they should be issued by the NPPO of the importing country to importers.

***[35]***2.1 Information requirements

***[36]***The following information is the minimum information that should be included in SIAs:

* ***[37]***name of the NPPO, contact information for verification purposes, and name of the importing country;
* ***[38]***identification code or SIA number;
* ***[39]***importer’s information (e.g. name and address of importer);
* ***[40]***date of issuance;
* ***[41]***description of the consignment covered by the SIA;
* ***[42]***country of origin and country of export or re-export;
* ***[43]***intended use of the commodity or commodities that make up the consignment;
* ***[44]***phytosanitary import requirements (where these have been established); and
* ***[45]***period of validity.

***[46]***Other information may also be included in SIAs, such as:

* ***[47]***quantity of the consignment (number of units that make up the consignment, or its weight);
* ***[48]***whether the authorization is for an individual or a series of consignments;
* ***[49]***means of conveyance;
* ***[50]***point of entry;
* ***[51]***issuing officer;
* ***[52]***exporter;
* ***[53]***location to which consignments are to be directed (e.g. post-entry quarantine facility, processing facility); and
* ***[54]***treatment provider.

***[55]***2.2 Language

***[56]***The NPPOs of importing countries may choose the language or languages in which their SIAs are issued but are encouraged to also use one of the official languages of the Food and Agriculture Organization of the United Nations, preferably English.

***[57]***3. Uses of specific import authorizations

***[58]***The following examples of purposes, articles and situations related to import indicate where use of SIAs may be appropriate:

* ***[59]***research and scientific purposes;
* ***[60]***exhibition purposes;
* ***[61]***educational purposes;
* ***[62]***religious or cultural purposes (e.g. religious festivals, ancestral customs);
* ***[63]***articles for which the NPPO of the importing country requires the ability to trace and manage over a period of time after entry (e.g. articles subject to post-entry quarantine or processing);
* ***[64]***emergency or exceptional situations;
* ***[65]***biological control agents and other beneficial organisms;
* ***[66]***situations where general import authorizations have not been developed or it is not possible to develop them; and
* ***[67]***articles that are not routinely imported.

***[68]***The list above is not intended to be exhaustive and countries are not required to use SIAs for the examples provided.

***[69]***4. Responsibilities

***[70]***4.1 The NPPO of the importing country

***[71]***When using SIAs, the NPPO of the importing country should comply with the principles described in the IPPC and ISPM 1 (*Phytosanitary principles for the protection of plants and the application of phytosanitary measures in international trade*), such as those relating to minimal impact, transparency, non-discrimination, technical justification and cooperation.

***[72]***The responsibilities of the NPPO of the importing country should include elements such as:

* ***[73]***publishing (e.g. on the NPPO website) information on the regulated articles and intended uses for which an SIA is required;
* ***[74]***having a process in place for assessing and identifying the information that will be needed for SIAs and setting up SIAs;
* ***[75]***having a process in place for amending, suspending or revoking SIAs, including a process to communicate with relevant parties when this occurs;
* ***[76]***publishing the process by which an importer can apply for an SIA and the application form that the importer needs to complete;
* ***[77]***communicating all requirements to the importer;
* ***[78]***issuing an SIA without undue delay if the requirements for the SIA are met;
* ***[79]***defining the language or languages used in SIAs;
* ***[80]***clearly specifying phytosanitary import requirements in SIAs (where these have been established);
* ***[81]***providing the NPPOs of exporting countries, on request, with information to verify the authenticity of SIAs and provide clarification as needed; and
* ***[82]***monitoring trade under SIAs and considering transferring SIAs to general import authorizations where appropriate.

***[83]***4.2 Importers

***[84]***The responsibilities of importers, as determined by the NPPO of the importing country, may include:

* ***[85]***applying for an SIA before import in situations where an SIA is required;
* ***[86]***complying with the requirements of the SIA;
* ***[87]***providing the SIA to the exporter;
* ***[88]***if required, notifying the NPPO of the importing country of the timing of the import or other information; and
* ***[89]***when necessary, providing a translation of the SIA in a language that the NPPO of the exporting country can understand.

***[90]***4.3 Exporters

***[91]***The responsibilities of exporters may include:

* ***[92]***obtaining an SIA from the importer before export if an SIA is required;
* ***[93]***complying with the requirements of the SIA;
* ***[94]***submitting a legible SIA to the NPPO of the exporting country; and
* ***[95]***when necessary, providing a translation of the SIA in a language that the NPPO of the exporting country can understand.

***[96]***4.4 The NPPO of the exporting country

***[97]***The responsibilities of the NPPO of the exporting country may include:

* ***[98]***obtaining the SIA; and
* ***[99]***certifying the compliance of plants, plant products or other regulated articles with the phytosanitary import requirements when a request for phytosanitary certification is accompanied by an SIA.

***[100]***Potential implementation issues

***[101]***This section is not part of the standard. The Standards Committee in May 2016 requested the Secretariat to gather information on any potential implementation issues related to this draft. Please provide details and proposals on how to address these potential implementation issues.