[PleaseReview document review. Review title: 2022 ICD Draft Specification: Authorization of entities to perform phytosanitary actions, Guide (2018-040). Document title: 2018-040\_DS\_AuthorizationOfEntitiesGuide\_EN.docx]

***[1]*Authorization of entities to perform phytosanitary actions, Guide (2018-040)**

***[2]*Status box**

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| ***[3]***This status box is not an official part of the Guide and will be modified by the IPPC Secretariat |
| ***[4]*Submission number:**  | ***[5]***2018-040 |
| ***[6]*Title** | ***[7]***Guide on authorization of entities to perform phytosanitary actions |
| ***[8]*Document category**  | ***[9]***IPPC Guide |
| ***[10]*Date of this document** | ***[11]***2022-03-16 |
| ***[12]*Current document stage** | ***[13]***Draft Specification |
| ***[14]*Major stages** | ***[15]******[16]*2019-03:** CPM-14 (2019) added this topic to List of Implementation and Capacity Development Topics; priority 1***[17]*2020-11:** Implementation and Capacity Development Committee (IC) lead identified (Dominique PELLETIER (CAN))***[18]*2021-06:** The IC agreed that the draft specification should be developed for the 2022 consultation***[19]*2022-03** : IC approved draft specification for consultation  |
| ***[20]*Implementation Committee leads** | ***[21]*2020-11:** Dominique PELLETIER |
| ***[22]*IPPC Secretariat lead** | ***[23]*2021-02:** Descartes KOUMBA |
| ***[24]*Working Group experts**  | ***[25]*** |
| ***[26]*Notes** | ***[27]*** |

***[28]***

***[29]***1. Title

***[30]***Guide on authorization of entities to perform phytosanitary actions (2018-040)

***[31]***2. Type of implementation resource

***[32]***IPPC guide

***[33]***3. Convention articles, ISPMs and CPM recommendations to be addressed by the proposed implementation resource

***[34]***International Plant Protection Convention (Article V.2(a) in particular)

***[35]***ISPM 45: *Requirements for national plant protection organizations if authorizing entities to perform phytosanitary actions*

***[36]***Consider adding the new audit ISPM, pending adoption by CPM-16

***[37]***4. Scope

***[38]***This IPPC guide is meant to improve the understanding of the concept of authorization of entities to perform phytosanitary action and contribute to the implementation of ISPM 45 (*Requirements for national plant protection organizations if authorizing entities to perform phytosanitary actions).*

***[39]***5. Purpose

***[40]***The guide will provide guidance to national plant protection organizations (NPPOs) and the authorized entities to understand the process, meet requirements and to fulfil their roles and responsibilities during the development and implementation of authorization programmes to carry out phytosanitary actions.

***[41]***The guide will also provide examples and case studies to help NPPOs and authorized entities adapt their authorization process to perform phytosanitary actions while remaining consistent with requirements of the IPPC.

***[42]***6. Content for the proposed implementation resource

***[43]***The working group should include content based on the outcomes of the following tasks:

1. ***[44]***describe responsibilities and obligations of the NPPOs related to the authorization of third parties to perform phytosanitary actions;
2. ***[45]***describe the types of phytosanitary actions that can be delegated to the authorized entities (including national and international entities) in line with the IPPC and the ISPMs;
3. ***[46]***describe the mechanisms to enable authorization (e.g. legal framework, memorandum of understanding);
4. ***[47]***describe the development of procedures and processes to authorize, suspend and reinstate entities;
5. ***[48]***describe the understanding and development of management systems and quality management system manuals;
6. ***[49]***describe the supervision of authorized entities, including procedures for examination and assessment of competencies;
7. ***[50]***provide examples of processes of authorizing entities to perform phytosanitary actions;
8. ***[51]***suggest case studies that show how authorized entities perform phytosanitary actions;
9. ***[52]***provide a more specific guidance on authorizing entities to carry out phytosanitary fumigation treatments.

***[53]****Note:* Any overlapping topic presented in the guide on audits should be identified to ensure that both guides complement one another and do not repeat each other.

***[54]***7. Financial and in-kind contributions

***[55]***Contracting parties are encouraged to identify any financial or in-kind contributions that will be provided to support the development of this guide or to facilitate the translation of the final product.

***[56]***8. Selection criteria for working group experts

***[57]***The IPPC Secretariat and the Implementation and Capacity Development Committee support equity, diversity and inclusiveness, and encourage all interested experts to submit their candidature to participate in the working group that will be tasked with developing this IPPC guide.

***[58]***The members of the working group will be selected based on their technical and practical expertise in the subject matter. Geographical representation of experts from both developing and developed countries will also be considered to ensure that the material developed is globally applicable and reflects best practices from all over the world.

***[59]***The following criteria should be used for selecting working group members:

1. ***[60]***practical expertise and knowledge in one or more of the following areas:
* ***[61]***designing and implementation of agreements with authorized entities
* ***[62]***development of legal framework to enable authorization
* ***[63]***inspection of plants and plant products
* ***[64]***work with NPPOs or RPPOs
* ***[65]***experience of collaboration with laboratories and research institutes
* ***[66]***export certification
* ***[67]***audit for phytosanitary purposes
* ***[68]***developing or managing phytosanitary export systems;
1. ***[69]***strong working knowledge of English and ability to formulate ideas and write clearly in English.

***[70]***The working group is encouraged to consider inviting third-party entities to contribute to the development of the guide, by consulting with them or inviting them to make presentations to the working group, etc.

***[71]***In addition, it would also be useful for the working group to have recourse to seek the advice of FAO Legal Services on legal aspects related to the mechanisms to enable authorization.

***[72]***9. References

***[73]*Canadian Food Inspection Agency.** 2015. D-13-02: Requirements for the evaluation and recognition of third-party auditors. In: *Canadian Food Inspection Agency: Forest products*. Ottawa, Government of Canada. Cited 2 March 2022. <https://inspection.canada.ca/plant-health/invasive-species/directives/forest-products/d-13-02/eng/1422060900536/1438793070887>

***[74]*ISPM 5.** *Glossary of phytosanitary terms*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/622/>

***[75]*ISPM 45.** 2022. *Requirements for national plant protection organizations if authorizing entities to perform phytosanitary actions*. Rome, IPPC Secretariat, FAO.<https://www.ippc.int/en/publications/89734/>

***[76]*IPPC Secretariat**. 2021. *Authorizing entities to perform phytosanitary actions – An overview of the current use of authorization by national plant protection organizations*. Rome, IPPC Secretariat, FAO. <https://doi.org/10.4060/cb3834en>

***[77]*IPPC Secretariat.** 2021. Report of the 15th Virtual Meeting of the Implementation and Capacity Development Committee (2021-06 IC VM15). Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/90286/>

***[78]*IPPC Secretariat.** 2021. Report of the 17th Virtual Meeting of the Implementation and Capacity Development Committee (2021-11 IC VM17). Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/90774/>

***[79]*IPPC Secretariat.** 2020. Webinar: Enhancing the understanding of the concept on authorization of entities to perform phytosanitary actions. In: *International Plant Protection Convention: Authorization of entities to perform phytosanitary actions (October 2020)*. Rome, IPPC Secretariat, FAO. Cited 2 March 2022. <https://www.ippc.int/en/work-area-pages/workshops-and-experts-meeting/ippc-webinar-enhancing-the-understanding-of-the-concept-on-authorization-of-entities-to-perform-phytosanitary-actions/>

***[80]*IPPC Secretariat.** 2015. *Export certification: A guide to export certification for national plant protection organizations*. Rome, IPPC Secretariat, FAO. [www.ippc.int/en/publications/90636/](http://www.ippc.int/en/publications/90636/)

***[81]*IPPC Secretariat**. 2015. *Operation of a national plant protection organization: A guide to understanding the principal requirements for operating an organization to protect national plant resources from pests*. Rome, IPPC Secretariat, FAO. <https://www.ippc.int/en/publications/90633/>

***[82]*IPPC Secretariat**. 1997. International Plant Protection Convention. Rome, IPPC Secretariat, FAO. [www.ippc.int/en/publications/131](http://www.ippc.int/en/publications/131)

***[83]*IPPC Secretariat.** (forthcoming). *Guide to support implementation of ISPM 15*. Rome, IPPC Secretariat, FAO.

***[84]*IPPC Secretariat**. (forthcoming). Phytosanitary export certification system. IPPC e-learning course. In: *International Plant Protection Convention e-learning courses*. Rome, IPPC Secretariat, FAO. Cited 9 February 2022. [www.ippc.int/en/e-learning](https://www.ippc.int/en/e-learning)

***[85]*IPPC Secretariat.** (forthcoming). Inspection. IPPC e-learning course. In: *International Plant Protection Convention e-learning courses*. Rome, IPPC Secretariat, FAO. Cited 9 February 2022. [www.ippc.int/en/e-learning](https://www.ippc.int/en/e-learning)

***[86]***The Working group is invited to have a look also on regional standards and procedures related to the authorization of entities to perform phytosanitary actions.