



Food and Agriculture
Organization of the
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International
Plant Protection
Convention



Draft specification: IPPC Guide to phytosanitary audits (2021-009)

2023 IPPC Regional Workshops

Outline

- 1** Consultation on the draft Specification
- 2** Purpose and scope of the guide
- 3** Proposed content for the guide
- 4** References and supporting resources
- 5** How to support the development of this guide

Consultation on the draft specification

The draft specification for the IPPC guide *Phytosanitary audits (2021-009)* is available for consultation.

Closing date? 30 September, 2023

Where? Online Comment Systems (OCS)

- ❖ This is an opportunity for regional discussions about the proposed purpose, scope and content of this guide.



Purpose

- To provide national plant protection organizations with practical guidance and best practices for carrying out audits;
- To support harmonized implementation of ISPM47 (*Audit in the Phytosanitary Context*).



Scope

- provide information to assist NPPOs wishing to establish or enhance their national procedures for phytosanitary audit activities.
- provide practical guidance to assist NPPOs in conducting audits in their own territory, or in the territory of another NPPO.
- focus on the phytosanitary aspects of audits, as laid out in ISPM 47 (*Audit in the Phytosanitary Context*)
- include practical tools, examples and case studies that NPPOs may adapt for use in their particular context.



Brainstorming session

- What are some of the key challenges to implementing ISPM 47 (*Audit in the Phytosanitary Context*) in your region?
- What information would you like to see included in the *IPPC guide to phytosanitary audits*?



The draft specification proposes that the following be included in the guide:

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1. Purpose, benefits and use of phytosanitary audits;
2. Triggers for phytosanitary audits in an importing country or in the territory of an exporting country;
3. Scope, purpose and procedures used for internal audits, audits of authorized entities and remote audits;
4. Similarities and differences between systems audits and focused audits;
5. Roles and responsibilities of the NPPO, the auditor and the auditee;
6. Role of the NPPO in providing oversight of entities authorized to carry out phytosanitary audits on behalf of the NPPO;



(continued)

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7. Steps and procedures for planning, preparing, undertaking and reporting the outcome of an audit;
8. Selecting auditors, establishing the audit frequency, settling disputes over audit findings, and agreeing to financial arrangements;
9. Roles and responsibilities of the different members of an audit team and describe the minimum skills, expertise and training required by each;
10. Essential elements of an audit checklist and a sample template;
11. Types of non-conformities and appropriate follow-up activities;



(continued)

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12. Auditing best practices, including the importance of independence, objectivity and the benefits of rotating auditors.
13. Recommend supplemental national or regional resources that might be shared with the IPPC community to enhance the implementation of ISPM 47.
14. Case studies that highlight associated with performing audits in the phytosanitary context.

❖ Please refer to Section 6 in the draft Specification for a complete list and additional details.



IPPC regional workshops

How NPPOs may support the development of this guide:

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Thank you

IPPC Secretariat

Food and Agriculture Organization
of the United Nations (FAO)

ippc@fao.org | www.ippc.int

