

REPORT

Rome,
Italy,
13-17 May
1996

Committee of Experts on Phytosanitary Measures Third meeting



Food
and
Agriculture
Organization
of the
United
Nations

**Meeting Report
AGP/1996**

**REPORT OF THE THIRD MEETING OF THE
COMMITTEE OF EXPERTS ON PHYTOSANITARY MEASURES**

Rome, Italy : 13-17 May 1996



FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

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1. OPENING OF SESSION

Dr M. Zehni opened the meeting by welcoming the participants, then briefly reviewed the progress made in the development of standards and the revision of the International Plant Protection Convention (IPPC). Dr N.A. Van der Graaff described in more detail the developments on the revision of the IPPC and outlined the planned course of action for completing the revision.

There were three new committee members at this meeting: O. Morales Valencia proposed by COSAVE; M.A. Rahel (Morocco) and E. Tuazon proposed by APPPC. All members of the committee accepted a term of office for four years. No expert from the Pacific Plant Protection Organization attended the meeting. A new proposal for an expert from the PPPO is required.

2. ELECTION OF CHAIRPERSON AND VICE CHAIRPERSON

Dr M. Vereecke was elected chairperson and Dr W. Small vice-chairperson.

3. ADOPTION OF THE AGENDA

The Provisional Agenda (see Appendix 1) was presented and adopted.

4. CONSIDERATION OF DRAFT INTERNATIONAL STANDARDS FOR PHYTOSANITARY MEASURES

4.1 *Guidelines for Survey and Monitoring Systems*

Consideration of this draft ISPM was based on the comprehensive rearrangement submitted by EPPO. An explanatory reference to the Bayer Code was added. The definitions of a number of important terms including “surveillance”, “survey and monitoring” were clarified and consequential revisions made of the title and content of the standard. (It was recommended that the title be changed to Guidelines for Surveillance Systems). The terms “prevalence” and “area of low pest prevalence” were discussed and eventually withdrawn as they were not considered essential to the standard. There was discussion on the importance of general surveillance in providing data for host pest lists and it was noted that specific surveys were important in this context in countries which did not have adequate historical records. Notes regarding the deposition of voucher specimens and the adequate referencing of reports in relation to pest occurrences were added to the document. The consensus text is added as Annex I. The standard will be submitted to FAO COAG, Council and Conference in 1997.

4.2 *Framework for an Export Certification System*

It was recommended that the title be changed to Export Certification Systems. A number of definitions were added to the text (including phytosanitary regulation) and some modified (country of origin, country of re-export). The draft was considered using the EPPO draft revision as a basis with most of the recommended changes being accepted. There was considerable discussion on the provision of technical information for quarantine personnel involved in phytosanitary certification and on whether such should include lists of quarantine pests only or also and non-quarantine pests.

The section concerning the phytosanitary certificate was discussed at length. An amendment to the disclaimer was recommended. The committee substantially agreed with the clarifications suggested by EPPO to the section concerning the re-export certificate. The subjects of the period of retention of the phytosanitary certificate by the issuing NPPO and consignment tracing were discussed. The consensus text is added as Annex II. The standard will be submitted to FAO COAG, Council and Conference in 1997.

4.3 *Examination of new and modified definitions for addition to the Glossary of Phytosanitary Terms*

The majority of definitions were accepted with little discussion. “Area of low pest prevalence” was deleted. Considerable explanatory discussion occurred concerning the terms involving “area” including “controlled area”, “regulated area” and “protected area”. Concern was expressed over the inclusion of the term “hitch-hiker pest” in the glossary because of difficulties in translation: it was retained as a synonym for “contaminating pest” for the time being. A definition for “quality pest” was agreed to. The additional terms figure in Annex III.

4.4 *Inspection Methodology*

Dr R.L. Griffin, USDA, introduced the discussion of this draft ISPM since he had provided the revised version of the standard. The major point of discussion was the term “Maximum Allowable Prevalence (MAP)” and an alternative term “detection threshold”. The Committee was divided over the appropriate term to be used. Other issues and concepts were discussed, including testing and multiple MAPs. The Committee recommended that the draft ISPM be re-examined by Dr Griffin and the EPPO Phytosanitary Panel and resubmitted to the CEPMP for consideration

4.5 *Pest Risk Analysis: Supplementary Standard for Pest Categorization, Economic Impact Assessment Probability of Introduction, Pest Risk Management*

It was suggested that this document be put aside for some years, or that the new elements in it be incorporated into the present Guidelines, or that it be published in an alternative way. Some members noted that the information contained in the

document would be useful to FAO Members. It was recommended that the document be subject to further study and that, as few comments were available at the meeting, CEPM members forward comments to the Secretariat for consideration by 15 July 1996.

4.6 *Guidelines for Eradication Programmes*

This draft ISPM was considered briefly by the Committee. It was suggested that there could be greater emphasis on the verification procedures although this would be dealt with in the pest specific standards. It was recommended that the standard be extended with more general information. Comments on this standard should be submitted to the Secretariat by 1 December 1996.

4.7 *Requirements for the Establishment of Pest Free Production Sites*

This draft ISPM was very briefly considered by the Committee. Some members saw problems with the definitions and terms used. It was recommended that the draft had the missing elements inserted and that it be sent to the CEPM members for consideration with comments to be returned to the Secretariat by 1 December 1996.

5. CONSIDERATION OF SUBMISSION OF PROPOSALS FOR STANDARDS BY RPPOs

NAPPO Standards for Phytosanitary Measures: Requirements for the Importation of Potatoes into, and Movement within, the Regional Territories of the North American Plant Protection Organization

There was some discussion as to how a regional standard related to global standards, however no firm conclusions were reached. In the case of this particular standard, it was recommended that, after the standard had been amended, it would be returned to the CEPM for consideration.

6. OTHER BUSINESS

CEPM Procedures

It was agreed that the CEPM members send comments to the Secretariat on the function and procedures of the CEPM. These will be collated and sent to members for further consideration.

Technical Consultation

The meeting was advised of the forthcoming Technical Consultation to be held in Paris in September 1996.

DRAFT STANDARD

**INTERNATIONAL STANDARDS FOR
PHYTOSANITARY MEASURES**

PART 4 - PEST SURVEILLANCE

GUIDELINES FOR SURVEILLANCE



**Secretariat of the International Plant Protection Convention
Food and Agriculture Organization
of the United Nations
Rome 199-**

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Endorsement

International standards for phytosanitary measures are prepared by the Secretariat of the International Plant Protection Convention as part of the United Nations Food and Agriculture Organization's global programme of policy and technical assistance in plant quarantine. This programme makes available to FAO Members and other interested parties guidelines to achieve international harmonization of phytosanitary measures, with the aim to facilitate trade and avoid the use of unjustifiable measures as barriers to trade. The standards are presented in a framework composed of seven parts encompassing procedures for: Import Regulations, Export Certification, Compliance Procedures, Pest Surveillance, Exotic Pest Response, Pest Management and Post-Entry Quarantine. Other standards are presented as reference documents.

The following standard was endorsed in November 1996 by the 22nd Session of the FAO Conference.

Jacques Diouf
Director-General
Food and Agriculture Organization of the United Nations

Review

International standards for phytosanitary measures are subject to periodic review and amendment. The next review date for this standard is December 200-, or such other date as may be agreed upon by the FAO Committee on Agriculture.

Amendment record

Amendments will be issued as necessary and given a consecutive number and dated. Standard holders should ensure that obsolete pages are removed from the present document and all amendments inserted where indicated.

Distribution

International standards for phytosanitary measures are distributed by the Secretariat of the International Plant Protection Convention to all FAO Members, plus the Executive/Technical Secretariats of the Regional Plant Protection Organizations:

- Asia and Pacific Plant Protection Commission
- Caribbean Plant Protection Commission
- Comité Regional de Sanidad Vegetal para el Cono Sur
- European and Mediterranean Plant Protection Organization
- Inter-African Phytosanitary Council
- Junta del Acuerdo de Cartagena
- North American Plant Protection Organization
- Organismo Internacional Regional de Sanidad Agropecuaria
- Pacific Plant Protection Organization.

INTRODUCTION

SCOPE

This standard describes the components of survey and monitoring systems for the purpose of pest detection and the supply of information for use in pest risk analyses, the establishment of pest free areas and, where appropriate, the preparation of pest lists.

REFERENCES

Agreement on the Application of Sanitary and Phytosanitary Measures, 1994. World Trade Organization, Geneva.

International Plant Protection Convention, 1992. FAO, Rome.

Principles of Plant Quarantine as Related to International Trade, 1995. ISPM Pub. 1, FAO, Rome.

FAO Glossary of Phytosanitary Terms, *FAO Plant Protection Bulletin*, 38(1), 1990: 5-23

Requirements for the Establishment of Pest Free Areas, 1996. ISPM Pub No. 4, FAO, Rome.

Bayer coding system, 1996. EPPO, Paris.

DEFINITIONS AND ABBREVIATIONS

Area	An officially defined country, part of a country or all or parts of several countries.
Commodity	A type of plant, plant product or other regulated article being moved for trade or other purpose.
Commodity pest list	A list of pests occurring in an area which may be associated with a specific commodity.
Delimiting survey	Survey conducted to establish the boundaries of an area considered to be infested by or free from a pest.
Detection survey	Survey conducted in an area to determine if pests are present.
Host	A plant species which is capable, under natural conditions, of sustaining a specific pest.
Host pest list	A list of pests which infest a plant species.
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended.

Monitoring	An official ongoing process to verify phytosanitary situations.
Monitoring survey	Ongoing survey to verify the characteristics of a pest population.
National Plant Protection Organization (NPPO)	Official service established by a government to discharge the functions specified by the IPPC.
Occurrence	The presence in an area of a pest officially reported to be indigenous or introduced and/or not officially reported to have been eradicated.
Official	Established, authorized or performed by a National Plant Protection Organization.
Pathway	Any means that allows the entry or spread of a pest.
Pest	Any species, strain or biotype of plant, animal, or pathogenic agent injurious to plants or plant products. (Definition subject to formal amendment of the IPPC.)
Pest free area (PFA)	An area in which a specific pest does not occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained.
Pest risk analysis (PRA)	Pest risk assessment and pest risk management.
Pest risk assessment	Determination of whether a pest is a quarantine pest and evaluation of its introduction potential.
Pest risk management	The decision-making process of reducing the risk of introduction of a quarantine pest.
Surveillance	An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures.
Survey	An official procedure conducted over a defined period of time to determine the characteristics of a pest population or to determine which species occur in an area.

OUTLINE OF REQUIREMENTS

Under the international standard for phytosanitary measures: “Principles of Plant Quarantine as Related to International Trade”, countries are required to justify their phytosanitary regulations on the basis of pest risk analysis (PRA). These principles also endorse the concept of pest free areas (PFAs), a description of which is provided in the ISPM “Requirements for the Establishment of Pest Free Areas”. These concepts are also referred to in the World Trade Organization’s Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement). The collecting and recording of pest information is fundamental to all these concepts. The implication is that National Plant Protection Organizations (NPPOs) should be in a position to validate declarations of the absence or limited distribution of quarantine pests.

There are two major types of surveillance systems:

- General surveillance
- Specific surveys.

General surveillance is a process whereby information on particular pests which are of concern for an area is gathered from many sources, wherever it is available and provided for use by the NPPO.

Specific surveys are procedures by which NPPOs obtain information on pests of concern on specific sites in an area over a defined period of time.

The verified information acquired may be used to determine the presence or distribution of pests in an area, or on a host or commodity, or their absence from an area (in the establishment and maintenance of pest free areas).

REQUIREMENTS

1. General Surveillance

1.1 Sources

Within countries there are many sources of pest information. These sources may include: NPPOs, other national and local government agencies, research institutions, universities, scientific societies (including amateur specialists), producers, consultants, museums, the general public, scientific and trade journals, unpublished data and contemporary observations. In addition, the NPPO may obtain information from international sources such as FAO, Regional Plant Protection Organizations (RPPOs), etc.

1.2 Collection, storage and retrieval of information

To utilize data from these sources, it is recommended that NPPOs develop a system whereby appropriate information on the particular pest(s) of concern is collected, verified and compiled.

Components of such a system should include:

- the NPPO or another institution designated by the NPPO acting as the national repository for plant pest records
- a record keeping and retrieval system
- data verification procedures
- communication channels to transfer information from the sources to the NPPO.

Components of such a system may also include:

- incentives to report such as:
 - legislative obligations (for the general public or specific agencies)
 - cooperative agreements (between the NPPO and specific agencies)
 - use of contact personnel to enhance communication channels to and from NPPOs
 - public education/awareness programmes.

1.3 Use of information

Information gathered through such general surveillance will most often be used:

- to support NPPO declarations of pest freedom
- to aid early detection of new pests

- for reporting to other organizations such as RPPOs and FAO
- in the compilation of host and commodity pest lists and distribution records.

2. Specific Surveys

Specific surveys may be detection, delimiting or monitoring surveys. These are official surveys and should follow a plan which is approved by the NPPO.

The survey plan should include:

- definition of the purpose (e.g. early detection, assurances for pest free areas, information for a commodity pest list) and the specification of the phytosanitary requirements to be met
- identification of the target pest(s)
- identification of scope (e.g. geographical area, production system, season)
- identification of timing (dates, frequency, duration)
- in the case of commodity pest lists, the target commodity
- indication of the statistical basis, (e.g. level of confidence, number of samples, selection and number of sites, frequency of sampling, assumptions)
- description of survey methodology and quality management including an explanation of:
 - sampling procedures, e.g. attractant trapping, whole plant sampling, visual inspection, sample collection and laboratory analysis. The procedure would be determined by the biology of pest and/or purpose of survey
 - diagnostic procedures
 - reporting procedures.

2.1 Pest surveys

Surveys for specific pests will provide information to be used mainly

- to support NPPO declarations of pest freedom

but also:

- to aid early detection of new pests
- for reporting to other organizations such as RPPOs and FAO.

The selection of suitable survey sites may be determined by the:

- previously reported presence and distribution, of the pest biology of the pest
- distribution of host plants of the pest and especially of theft areas

- of commercial production
- climatic suitability of sites for the pest.

The timing of survey procedures may be determined by:

- the life cycle of the pest
- the phenology of the pest and its hosts
- the timing of pest management programmes
- whether the pest is best detected on crops in active growth or in the harvested crop.

For pests which are only likely to be present as a result of recent introduction, the selection of suitable survey sites may in addition relate, for example, to points of possible entry, possible pathways of spread, sites where imported commodities are marketed, and sites where imported commodities are used as planting material. The selection of survey procedures may be determined by the type of sign or symptom by which the pest can be recognized, and by the accuracy or sensitivity of techniques used to test for the pest.

2.2 Host or commodity surveys

Specific commodity surveys can provide useful information for pest lists of commodities produced under specific cultural practices. Surveys could also be used for the preparation of host pest lists where data from general surveillance is lacking.

The selection of suitable survey sites may be determined by:

- geographical distribution of production areas and/or theft size
- pest management programmes (commercial and non-commercial sites)
- cultivars present
- points of consolidation of the harvested commodity.

Survey procedures will be timed in relation to crop harvesting and will depend on the selection of a sampling technique appropriate to the type of harvested commodity.

2.3 Targeted and random sampling

Surveys should normally be designed to favour detection of the specific pest(s) concerned. However, the survey plan should also include some random sampling to detect unexpected events.

3. Good Surveillance Practice

Personnel or individuals involved in general surveillance should be adequately trained in appropriate fields of plant protection and data management.

Personnel or individuals involved in surveys should be adequately trained, and where appropriate audited, in sampling methods, preservation and transportation of samples for identification and record keeping associated with samples. Appropriate equipment and supplies should be used and maintained adequately.

4. Technical Requirements for Diagnostic Services

The NPPO should provide appropriate diagnostic services to support general surveillance and specific survey activities, or ensure access to such services. Characteristics of the diagnostic services include:

- expertise in disciplines relevant to pest (and host) identification
- adequate facilities and equipment
- access to specialists for verification where necessary
- facilities for record keeping
- facilities for processing and storing of voucher specimens
- use of standard operating procedures, where appropriate and available.

Verification of diagnoses by other recognized authorities will provide increased confidence in the survey results.

5. Record Keeping

The NPPO should keep appropriate records derived from general surveillance and specific surveys. Information kept should be appropriate for the intended purpose, e.g. support of specific pest risk analyses, establishment of pest free areas, and preparation of pest lists. Voucher specimens should be deposited, where appropriate.

Information in the records should include to the extent possible:

- scientific name of pest and Bayer code if available
- family/order
- scientific name of host and Bayer code if available, and plant part affected or means of collection (e.g. attractant trap, soil sample, sweep net)
- locality, e.g. location codes, addresses, coordinates
- date of collection and name of collector
- date of identification and name of identifier
- date of verification and name of verifier
- references, if any
- additional information, e.g. nature of host relationship, infestation status, growth stage of plant affected, or found only in greenhouses.

Reports of pest occurrence on commodities need not be so specific on locality or verification, but should refer precisely to the exact type of commodity, the collector and the date, and if appropriate the means of collection.

Reports of new occurrences of pests should also include information on any measures taken.

6. Transparency

The NPPO should on request, distribute reports of pest presence, distribution, or absence derived from general surveillance and specific surveys. Reports should be adequately referenced in relation to pest occurrences.

DRAFT STANDARD

**INTERNATIONAL STANDARDS FOR
PHYTOSANITARY MEASURES**

PART 2 - EXPORT CERTIFICATION

EXPORT CERTIFICATION SYSTEM



**Secretariat of the International Plant Protection Convention
Food and Agriculture Organization
of the United Nations
Rome 199-**

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Endorsement

International standards for phytosanitary measures are prepared by the Secretariat of the International Plant Protection Convention as part of the United Nations Food and Agriculture Organization's global programme of policy and technical assistance in plant quarantine. This programme makes available to FAO Members and other interested parties guidelines to achieve international harmonization of phytosanitary measures, with the aim to facilitate trade and avoid the use of unjustifiable measures as barriers to trade. The standards are presented in a framework composed of seven parts encompassing procedures for: Import Regulations, Export Certification, Compliance Procedures, Pest Surveillance, Exotic Pest Response, Pest Management and Post-Entry Quarantine. Other standards are presented as reference documents.

The following standard was endorsed in November 199- by the 2--th Session of the FAO Conference.

Jacques Diouf
Director-General
Food and Agriculture Organization of the United Nations

Review

International standards for phytosanitary measures are subject to periodic review and amendment. The next review date for this standard is December 200-, or such other date as may be agreed upon by the FAO Committee on Agriculture.

Amendment record

Amendments will be issued as necessary and given a consecutive number and dated. Standard holders should ensure that obsolete pages are removed from the present document and all amendments inserted where indicated.

Distribution

International standards for phytosanitary measures are distributed by the Secretariat of the International Plant Protection Convention to all FAO Members, plus the Executive/Technical Secretariats of the Regional Plant Protection Organizations:

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- Caribbean Plant Protection Commission
- Comité Regional de Sanidad Vegetal para el Cono Sur
- European and Mediterranean Plant Protection Organization
- Inter-African Phytosanitary Council
- Junta del Acuerdo de Cartagena
- North American Plant Protection Organization
- Organismo Internacional Regional de Sanidad Agropecuaria
- Pacific Plant Protection Organization.

INTRODUCTION

SCOPE

This standard describes the components of a national system for the issuance of phytosanitary certificates.

REFERENCES

FAO Glossary of Phytosanitary Terms, *FAO Plant Protection Bulletin*, 38(1), 1990: 5-23.

International Plant Protection Convention, 1992, FAO, Rome.

DEFINITIONS AND ABBREVIATIONS

Additional declaration	A statement that is required by an importing country to be entered on a phytosanitary certificate and which provides specific additional information pertinent to the phytosanitary condition of a consignment.
Consignment	A quantity of plants, plant products and/or other regulated articles being moved from one country to another and covered by a single phytosanitary certificate (a consignment may be composed of one or more lots).
Country of origin	Of a consignment of plants, a country where the plants were grown; of a consignment of plant products, country where the plants from which the plant products were derived were grown; of other regulated articles, country where the regulated articles were first exposed to contamination by pests.
Country of re-export	Country into which a consignment of plants, plant products, or other regulated articles have been imported and was stored, split up, had its packaging changed or was otherwise exposed to contamination by pests, prior to export to a third country.
Harmonization	The establishment, recognition and application by different countries of phytosanitary measures based on common standards. (Definition from <i>WTO Agreement on the Application of Sanitary and Phytosanitary Measures</i> .)

Import permit	Official document authorizing importation of a commodity in accordance with specified phytosanitary requirements.
Inspection	Official visual examination of plants, plant products or other regulated articles to determine if pests are present and/or to determine compliance with phytosanitary regulations.
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended.
National Plant Protection Organization (NPPO)	Official service established by a government to discharge the functions specified by the IPPC.
Pest	Any species, strain or biotype of plant, animal, or pathogenic agent, injurious to plants or plant products. (Definition subject to formal amendment of IPPC.)
Phytosanitary	Pertaining to plant quarantine.
Phytosanitary certificate	Certificate patterned after the model certificates of the IPPC.
Phytosanitary certification	Use of phytosanitary procedures leading to the issue of a phytosanitary certificate.
Phytosanitary regulation	Official rule to prevent the introduction and/or spread of quarantine pests, by regulating the production, movement, or existence of commodities or other articles, or the normal activity of persons, and by establishing schemes for phytosanitary certification.
Plant product	Unmanufactured material of plant origin (including rain) and those manufactured products that, by their nature or that of their processing, may create a risk for the spread of pests.
Plants	Living plants and parts thereof, including seeds.

Regional Plant Protection
Organization (RPPO)

Intergovernmental organization with the functions laid
down by Article VIII of the IPPC.

Treatment

Officially authorized procedure for the killing, removal
or rendering infertile of pests.

OUTLINE OF REQUIREMENTS

The International Plant Protection Convention (IPPC) requires its contracting parties to make arrangements to issue phytosanitary certificates certifying compliance with the phytosanitary regulations of other contracting parties. This standard describes an export certification system to produce valid and credible phytosanitary certificates. Exported consignments certified under these systems should meet the current phytosanitary requirements of the importing country.

The basic elements of the phytosanitary certification process include:

- ascertaining the relevant phytosanitary requirements of the importing country
- verifying that the consignment conforms to those requirements at the time of certification
- issuing a phytosanitary certificate.

The requirements for a certification system to fulfil these functions comprise the following:

- legal responsibility
- management responsibility, including resources, documentation, communication, and review mechanism.

REQUIREMENTS

The framework for a certification system includes the following components.

1. Legal Responsibility

The National Plant Protection Organization (NPPO) should have the sole authority by legislative or administrative means for control and issuance of phytosanitary certificates.

In using this authority, the NPPO should:

- bear the legal responsibility for its actions
- implement safeguards against potential problems such as conflicts of interest and fraudulent use of certificates.

The NPPO may have the authority to prevent the export of consignments which do not meet an importing country's requirements.

2. Management Responsibility

The NPPO should:

- have a management system that ensures that all requirements, including certification specifications, legislative requirements and administrative requirements are satisfied
- identify a person or office responsible for the export certification system
- identify the duties and lines of communication of all personnel with certification-related responsibilities
- ensure that adequate personnel and resources are available to undertake the following functions:
 - maintenance of information on importing country phytosanitary requirements as needed
 - production of operational instructions to ensure that importing country phytosanitary requirements are satisfied
 - inspection and testing of consignments
 - identification of organisms found during inspection of consignments
 - verification of the authenticity and integrity of phytosanitary procedures
 - completion and issue of phytosanitary certificates
 - document storage and retrieval
 - training
 - dissemination of certification-related information review regularly the effectiveness of its export certification system.

3. Resources

3.1 Staff

The NPPO should have personnel with a level of expertise appropriate for the duties and responsibilities of the positions being occupied.

NPPOs should have or have access to personnel who have training and experience in:

- performing inspections of plants, plant products and other regulated articles for purposes related to the issuance of phytosanitary certificates
- identification of plants and plant products
- detection and identification of plant pests
- performing or supervising phytosanitary treatments required for the certification in question
- survey, monitoring and control activities related to phytosanitary certification
- constructing appropriate certification systems and formulating instructions from importing country phytosanitary requirements
- auditing of accredited personnel and certification systems, where appropriate.

Except for the issuance of phytosanitary certificates, non-governmental personnel may be accredited by the NPPO to carry out specified certification functions. To be accredited, such personnel should be qualified and skilled, and responsible to the NPPO. To ensure independence in their exercise of official functions, they should be subject to restrictions equivalent to those for government officials and have no financial interest in the outcome.

3.2 Information on importing country phytosanitary requirements

The NPPO should, to the extent possible, maintain official current information concerning the import requirements of its trading partners. It may be useful for the exporter to obtain information on the current import requirements for the country of destination and supply it to the NPPO.

3.3 Technical information

The NPPO should provide the personnel involved in phytosanitary certification with adequate technical information concerning quarantine pests, and to the extent possible, non-quarantine pests, for the importing countries including:

- their presence and distribution within the exporting country
- the biology, detection and identification of the pests.

3.4 Equipment

The NPPO should ensure that adequate equipment and facilities are

available to carry out inspection, testing, consignment verification and phytosanitary certification procedures.

4. Documentation

4.1 Phytosanitary certificates

The model phytosanitary certificates as described in the Annex of the IPPC should be used.

The phytosanitary certificate should contain sufficient information to clearly identify the consignment to which it relates.

The phytosanitary certificate should not carry other information, of a non phytosanitary nature.

The validity of phytosanitary certificates should not be indefinite but limited in duration (prior to export), to the extent the NPPOs deem appropriate, to ensure phytosanitary and physical integrity.

Appropriate disclaimers related to legal liability may be included on the phytosanitary certificate issued.

4.2 Phytosanitary certificate for re-export

Before issuing a phytosanitary certificate for re-export of a consignment, the NPPO should first examine the original phytosanitary certificate issued by the country of origin and determine whether the requirements of the country of destination are more stringent, the same, or less stringent than those satisfied by the phytosanitary certificate.

If the consignment is repacked, additional inspection should be carried out, whatever the stringency of the requirements. If however, the consignment is not repacked, two cases arise, If the requirements are the same or less stringent, no additional inspection will be required. If the requirements are more stringent, additional inspection should be carried out.

If the country of destination has special requirements (e.g. field inspection) that cannot be fulfilled by the country of re-export, no phytosanitary certificate for re-export can be issued unless this special item has been included in or declared on the original phytosanitary certificate or if equivalent laboratory tests agreed by the country of destination can be done on samples. When regular re-export exists, or is started, suitable procedures for satisfying these special requirements may be agreed between the NPPOs of the countries of origin and re-export.

If the country of re does not require a phytosanitary certificate for the commodity in question but the country of destination does, and the requirements can be fulfilled, by visual inspections or laboratory testing of

samples, the country of re-export may issue a normal phytosanitary certificate with the country of origin indicated in brackets.

4.3 Procedures

The NPPO should maintain guidance documents, procedures and work instructions as appropriate covering every aspect of the certification system.

Key elements include:

- instructions relating to phytosanitary certificates:
 - control over issuance (manual or electronic)
 - identification of issuing officers
 - inclusion of additional declarations
 - completion of the treatment section of the certificate
 - certified alterations
 - completion of phytosanitary certificates
 - signature and delivery of phytosanitary certificates

- instructions relating to other components:
 - procedures for working with industry
 - sampling, inspection and verification procedures
 - security over official seals/marks
 - consignment identification, traceability, and security
 - record keeping.

4.4 Records

In general, records should be kept concerning all activities mentioned in this standard.

A copy of each phytosanitary certificate should be retained for purposes of validation and “traceback”.

For each consignment for which a phytosanitary certificate is issued, records should be kept as appropriate on:

- any inspection, testing, treatment or other verification which was conducted on a consignment basis
- the names of the personnel who undertook these tasks
- the date on which the activity was undertaken
- the results obtained.

It may be useful to keep equivalent records for those non-conforming consignments for which phytosanitary certificates were not issued.

The NPPO should be able to retrieve these records when required, over an appropriate period of time. The use of secure electronic storage and

retrieval is recommended for standardized documentation of records.

4.5 Consignment tracing

Consignments and theft certification should be traceable as appropriate through all stages of production, handling and transport to the point of export.

If the NPPO becomes aware after certification that an exported consignment may not have complied with the importing country's phytosanitary requirements, the importing country's NPPO should be so advised.

5. Communication

5.1 Within the exporting country

The NPPO should have procedures in place for timely communication to relevant personnel and to industry concerning changes in:

- importing country phytosanitary requirements
- pest status and geographical distribution
- operational procedures.

The NPPO may put in place, for non-conforming consignments, a procedure which enables rapid communication to all affected industry parties and certification personnel. This is in order to facilitate resolution of the problem and to prevent re-submission of the consignment unless approved corrective action has been undertaken.

5.2 Outside the exporting country

The NPPO should:

- liaise with the nominated representatives of relevant NPPOs to discuss phytosanitary requirements
- make available a contact point for importing country NPPOs to report cases of non-compliance
- liaise with the relevant RPPOs and other international organizations in order to facilitate the harmonization of phytosanitary measures and the dissemination of technical and regulatory information.

6. Review Mechanism

6.1 System review

The NPPO should periodically review the effectiveness of all aspects of its export certification system and implement changes to the system if required.

6.2 Incident review

The NPPO should establish procedures for investigating reports from importing countries of non-conforming consignments covered by a phytosanitary certificate. If requested, a report of the outcome of the investigation should be supplied to the importing country.

New or modified English terms and definitions proposed by the Working Group

A1 Pest (for an area)	A quarantine pest not present in that area (CEPM, 1996)
A2 Pest (for an area)	A quarantine pest present in that area but not widely distributed there and being officially controlled (CEPM, 1996)
Buffer zone	An area in which a specific pest does not occur or is officially controlled , that either encloses or is adjacent to an infested area or a pest-free area and in which phytosanitary measures are taken to prevent spread of the pest (CEPM, 1996)
Commodity pest list	A list of pests occurring in an area which may be associated with a specific commodity (CEPM, 1996)
Contaminating pest	A pest that is accidentally associated with and carried by a commodity or other article being moved from one area to another and, in the case of plants and plant products , does not infest those plants or plant products (CEPM, 1996)
Controlled area	A regulated area which an NPPO has determined to be the minimum area necessary to prevent spread of a pest from a quarantine area (CEPM, 1996)
Country of origin	Of a consignment of plants , country where the plants were grown; of a consignment of plant products , country where the plants from which the plant products are derived were grown; of other regulated articles , country where the regulated articles were first exposed to contamination by pests (FAO, 1990; modified by CEPM, 1996)
Country of re-export	Country into which a consignment of plants , plant products or other regulated articles has been imported, and was stored, split up, had its packaging changed or was otherwise exposed to contamination by pests , prior to export to a third country (FAO, 1990; modified by CEPM, 1996)
Country of transit	Country through which a consignment of plants , plant products or other regulated articles passes, and without being stored, split up or having its packaging changed, without being exposed to contamination by pests in that country (FAO, 1990; modified by CEPM, 1996)
Field inspection	Inspection of plants during the growing season (FAO, 1990; modified by CEPM, 1996)
Hitch-hiker pest	See Contaminating pest

Host pest list	A list of pests that infest a plant species (CEPM 1996)
Interception (of a pest)	Detection of a pest during inspection or testing of an imported consignment (FAO, 1990; modified by CEPM, 1996)
Intermediate quarantine	Quarantine in a country other than the country of origin or destination (CEPM, 1996)
International Standard for Phytosanitary Measures	An international standard developed under the auspices of the Secretariat of the IPPC in cooperation with the RPPOs , and endorsed by the procedures of FAO (CEPM 1996)
ISPM	Abbreviation for International Standard for Phytosanitary Measures (CEPM, 1996)
Monitoring	An official ongoing process to verify phytosanitary situations (CEPM, 1996)
Protected area	A regulated area which an NPPO has determined to be the minimum area necessary for the effective protection of an endangered area (FAO, 1990; omitted from FAO, 1995; new concept from CEPM, 1996)
Quality pest	A non-quarantine pest for an importing country whose presence in a consignment of plants or plant products has economic importance in so far as it affects the grade, marketability or ultimate use of the consignment , and which may be subject to control under relevant quality regulations (CEPM, 1996)
Regulated area	An area into which, within which and/or from which plants, plant products and other regulated articles are subjected to phytosanitary measures in order to prevent the introduction and/or spread of quarantine pests (CEPM, 1996)
Restriction	A phytosanitary regulation allowing the importation or movement of specified commodities subject to certain requirements (CEPM, 1996).
Surveillance	An official process which collects and records data on pest occurrence or absence by survey, monitoring or other procedures (CEPM, 1996)
Survey	An official procedure conducted over a defined period of time to determine the characteristics of a pest population or to determine which species occur in an area (FAO 1990; modified by CEPM, 1996)
Inspection au champ	Inspection de végétaux pendant la période de végétation (FAO, 1990; modifié par CEMP, 1996)
Interception (d'un organisme nuisible)	Découverte d'un organisme nuisible lors de l'inspection ou de l'analyse d'un envoi importé (FAO, 1990; modifié par CEMP, 1996)
Liste d'organismes nuisibles à un hôte	Liste des organismes nuisibles qui infestent un végétal donné (CEMP, 1996)
Liste d'organismes nuisibles d'une	Liste des organismes nuisibles présents dans une

marchandise	zone , susceptibles d'être associés a une marchandise donnée (CEMP, 1996)
Monitoring	Procédé officiel et suivi ayant pour objet la vérification des situations phytosanitaires (CEMP, 1996)
Norme internationale en matière de mesures phytosanitaires	Norme internationale établie sous l'égide du Secrétariat de la CIPV en collaboration avec les ORPV et approuvée selon les procédures de la FAO (CEMP, 1996)
Organisme A1 (pour une zone)	Organisme de quarantaine non présent dans cette zone (CEMP, 1996)
Organisme A2 (pour une zone)	Organisme de quarantaine présent dans cette zone mais a distribution restreinte et faisant l'objet d'une lutte officielle (CEMP, 1996)
Organisme de qualité	Organisme non de quarantaine pour un pays importateur, dont la présence dans un envoi de végétaux ou de produits végétaux a une importance économique dans la mesure où elle influence la classe, l'aptitude a la commercialisation ou l'utilisation finale de l' envoi , et qui peut faire l'objet de contrôle dans le cadre d'une réglementation pertinente portant sur la qualité (CEMP, 1996)
Organisme nuisible contaminant	Organisme nuisible accidentellement associé a, et véhiculé par, une marchandise ou autre article expédié d'une zone a une autre et, dans le cas de végétaux ou de produits végétaux , sans que celui ne les infeste (CEMP, 1996)
Pays d'origine	Par rapport a un envoi de végétaux pays dans lequel les végétaux ont été cultivés; de produits végétaux , pays dans lequel les végétaux dont les produits végétaux sont issus ont été cultivés; d'autres articles réglementés , pays dans lequel les articles réglementés ont pour la première fois été exposés a la contamination par des organismes nuisibles (FAO, 1990; modifié par CEMP, 1996)
Pays de réexportation	Pays dans lequel un envoi de végétaux , de produits végétaux ou d'autres articles réglementés a été importé et a fait l'objet d'un entreposage, d'un fractionnement, d'un renouvellement de son emballage ou, ou d'une façon ou d'une autre, a été exposé a la contamination par des organismes nuisibles (FAO, 1990; modifié par CEMP, 1996)
Pays de transit	Pays a travers lequel un envoi de végétaux , de produits végétaux ou d'autres articles réglementés passe sans faire l'objet d'un entreposage, d'un fractionnement, d'un renouvellement de son emballage et sans être exposé a la contamination dans ce pays par des organismes nuisibles (FAO, 1990; modifié par CEMP, 1996)

Prospection	Procédé officiel permettant de déterminer les caractéristiques d'une population d' organismes nuisibles ou leur présence dans une zone pendant un laps de temps limité (FAO, 1990; modifié par CEMP, 1996)
Quarantaine intermédiaire	Quarantaine dans un pays autre que les pays d'origine et de destination (CEMP, 1996)
Restriction	Réglementation phytosanitaire qui autorise l'importation ou le mouvement de marchandises données, à condition que certaines exigences soient remplies (CEMP, 1996)
Surveillance	Processus officiel consistant à collecter et à enregistrer des données sur la présence ou l'absence d' organismes nuisibles dans une zone , par la prospection , le monitoring ou d'autres procédés (CEMP, 1996)
Zone contrôlée	Zone réglementée qu'une ONPV a déclarée comme étant la zone minimale nécessaire pour prévenir la dissémination d'un organisme nuisible à partir d'une zone de quarantaine (CEMP, 1996)
Zone protégée	Zone réglementée qu'une ONPV a déclarée comme étant la zone minimale nécessaire à la protection efficace d'une zone menacée (FAO, 1990; supprimé dans FAO, 1995; concept nouveau du CEMP, 1996)
Zone réglementée	Zone vers laquelle, à l'intérieur de laquelle et/ou depuis laquelle des végétaux , des produits végétaux et d'autres articles réglementés sont soumis à des mesures phytosanitaires afin de prévenir l' introduction et/ou la dissémination des organismes de quarantaine (CEMP, 1996)
Zone tampon	Zone dans laquelle un organisme nuisible donné n'est pas présent ou fait l'objet d'une lutte officielle , qui entoure ou est adjacente à une zone infestée ou à une zone indemne , dans laquelle des mesures phytosanitaires sont appliquées pour prévenir notamment la dissémination de l'organisme concerné 0

Import permit	Official document authorizing importation of a commodity in accordance with specified phytosanitary requirements.
Inspection	Official visual examination of plants, plant products or other regulated articles to determine if pests are present and/or to determine compliance with phytosanitary regulations.
IPPC	International Plant Protection Convention, as deposited in 1951 with FAO in Rome and as subsequently amended.
National Plant Protection Organization (NPPO)	Official service established by a government to discharge the functions specified by the IPPC.
Pest	Any species, strain or biotype of plant, animal, or pathogenic agent, injurious to plants or plant products. (Definition subject to formal amendment of IPPC.)
Phytosanitary	Pertaining to plant quarantine.
Phytosanitary certificate	Certificate patterned after the model certificates of the IPPC.
Phytosanitary certification	Use of phytosanitary procedures leading to the issue of a phytosanitary certificate.
Phytosanitary regulation	Official rule to prevent the introduction and/or spread of quarantine pests, by regulating the production, movement, or existence of commodities or other articles, or the normal activity of persons, and by establishing schemes for phytosanitary certification.
Plant product	Unmanufactured material of plant origin (including grain) and those manufactured products that, by their nature or that of their processing, may create a risk for the spread of pests.
Plants	Living plants and parts thereof, including seeds.

Regional Plant Protection
Organization (RPPPO)

Intergovernmental organization with the functions
laid down by Article VIII of the IPPC.

Treatment

Officially authorized procedure for the killing,
removal or rendering infertile of pests.

**COMMITTEE OF EXPERTS ON PHYTOSANITARY MEASURES
THIRD SESSION**

Rome 13 to 17 May 1996

PROVISIONAL AGENDA

1. Opening of the Session
2. Welcome address
3. Election of Chairman
4. Adoption of the Agenda
5. Review of draft Standard: *Guidelines for Survey and Monitoring Systems* }
6. Review of draft Standard: *Framework for an Export Certification System* } for approval
7. Review of draft Standard: *Inspection Methodology*
8. Review of draft Standard: *PRA Integrated Supplementary Standard*
9. Consideration of submission of proposals for Standards by RPPOs
10. Other business
11. Closure

**COMMITTEE OF EXPERTS ON PHYTOSANITARY MEASURES
THIRD SESSION**

Rome: 13-19 May 1996

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