



**International Plant Protection Convention**  
Protecting the world's plant resources from pests

CAPACITY DEVELOPMENT

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## Export Certification

A guide to export certification for  
national plant protection organizations





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national plant protection organizations

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This paper presents a guide to the establishment and operation of a phytosanitary export certification system created as a component of the IPPC National Phytosanitary Capacity Building Strategy, which was adopted by the fifth session of the Commission on Phytosanitary Measures (2010) of the IPPC. This work has been developed by selected experts and reviewed by the IPPC Capacity Development Committee (including phytosanitary experts from the seven FAO regions), the technical consultation among regional plant protection organizations and the IPPC Secretariat. The elaboration of this manual was possible thanks to the financial contribution of the Standard and Trade Development Facility (Project STDF 350).

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# IPPC Definitions Used

## **Area of low pest prevalence**

An area, whether all of a country, part of a country, or all or parts of several countries, as identified by the competent authorities, in which a specific pest is present at low levels and which is subject to effective surveillance or control measures [IPPC, 1997; revised CPM, 2015]

## **Buffer zone**

An area surrounding or adjacent to an area officially delimited for phytosanitary purposes in order to minimize the probability of spread of the target pest into or out of the delimited area, and subject to phytosanitary or other control measures, if appropriate [ISPM 10, 1999; revised ISPM 22, 2005; revised CPM, 2007]

## **Emergency action**

A prompt phytosanitary action undertaken in a new or unexpected phytosanitary situation [ICPM, 2001]

## **Emergency measure**

A phytosanitary measure established as a matter of urgency in a new or unexpected phytosanitary situation. An emergency measure may or may not be a provisional measure [ICPM, 2001; revised ICPM, 2005]

## **Inspection**

Official visual examination of plants, plant products or other regulated articles to determine if pests are present or to determine compliance with phytosanitary regulations [FAO, 1990; revised FAO, 1995; formerly "inspect"]

## **Integrity (of a consignment)**

Composition of a consignment as described by its phytosanitary certificate or other officially acceptable document, maintained without loss, addition or substitution [CPM, 2007]

## **National plant protection organization**

Official service established by a government to discharge the functions specified by the IPPC [FAO, 1990; formerly "plant protection organization (national)"]

## **Pest**

Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products [FAO, 1990; revised FAO, 1995; IPPC, 1997; revised CPM, 2012]

## **Pest free area**

An area in which a specific pest is absent as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained [FAO, 1995; revised CPM, 2015]

## **Pest free place of production**

Place of production in which a specific pest is absent as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period [ISPM 10, 1999; revised CPM, 2015]

## **Pest free production site**

A production site in which a specific pest is absent, as demonstrated by scientific evidence, and in which, where appropriate, this condition is being officially maintained for a defined period [ISPM 10, 1999; revised CPM, 2015]

## **Pest risk analysis**

The process of evaluating biological or other scientific and economic evidence to determine whether an organism is a pest, whether it should be regulated, and the strength of any phytosanitary measures to be taken against it [FAO, 1995; revised IPPC, 1997; ISPM 2, 2007]

**Phytosanitary legislation**

Basic laws granting legal authority to a national plant protection organization from which phytosanitary regulations may be drafted [FAO, 1990; revised FAO, 1995]

**Phytosanitary measure**

Any legislation, regulation or official procedure having the purpose to prevent the introduction or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 1995; revised IPPC, 1997; ICPM, 2002; revised CPM, 2013]

**Plant quarantine**

All activities designed to prevent the introduction or spread of quarantine pests or to ensure their official control [FAO, 1990; revised FAO, 1995; revised CPM, 2013]

**Point of entry**

Airport, seaport, land border point or any other location officially designated for the importation of consignments, or the entrance of persons [FAO, 1995; revised CPM, 2015]

**Quarantine pest**

A pest of potential economic importance to the area endangered thereby and not yet present there, or present but not widely distributed and being officially controlled [FAO, 1990; revised FAO, 1995; IPPC, 1997]

**Regulated pest**

A quarantine pest or a regulated non-quarantine pest [IPPC, 1997]

**Regulated non-quarantine pest**

A non-quarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party [IPPC, 1997; revised CPM, 2013]

**Treatment**

Official procedure for the killing, inactivation or removal of pests, or for rendering pests infertile or for devitalization [FAO, 1990; revised FAO, 1995; ISPM 15, 2002; ISPM 18, 2003; ICPM, 2005]


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Note: These definitions are sourced from the IPPC *Glossary of phytosanitary terms* (ISPM 5). This list includes only the glossary terms that are used in this guide. The Glossary is updated annually based on decisions taken by the IPPC Commission on Phytosanitary Measures. The complete and updated glossary is maintained at: <http://www.ippc.int/publications/glossary-phytosanitary-terms>. The definitions are accurate as of November 2015.



# Acronyms and Abbreviations

<b>ALPP</b>	Area of low pest prevalence
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>ICPM</b>	Interim Commission on Phytosanitary Measures
<b>IPPC</b>	International Plant Protection Convention
<b>ISPM</b>	International Standards for Phytosanitary Measures
<b>NPPO</b>	National plant protection organization
<b>PFA</b>	Pest free area
<b>PFPP</b>	Pest free place of production
<b>PFPS</b>	Pest free production site
<b>PRA</b>	Pest risk analysis
<b>RPPO</b>	Regional plant protection organization



# Preface – Purpose of a Guide to Export Certification for National Plant Protection Organizations

The International Plant Protection Convention (IPPC) provides model phytosanitary certificates for export and for re-export. These instruments of harmonization establish the basis on which contracting parties through their national plant protection organizations (NPPOs) honour the requirements of the importing country in the spirit of international cooperation. International Standards for Phytosanitary Measures (ISPM) no. 7 (*Phytosanitary certification system*) provides specific guidance for NPPOs on the requirements and components of a phytosanitary certification system. ISPM 12 (*Phytosanitary certificates*) covers the requirements and guidelines for the preparation and issuance of phytosanitary certificates (both for export and for re-export).

This manual addresses aspects of the implementation of ISPM 7 and ISPM 12. It covers the establishment and operation of a phytosanitary export certification system. The scope is limited to verifying compliance of exported regulated articles with importing country requirements. It presents a range of specific situations of importing country requirements and considers appropriate responses by the NPPO of the exporting country.

The manual may be used as a practical guide for managers of the NPPO establishing a national phytosanitary export certification system and for ensuring that appropriate procedures for effective credible certification activities and accountability are in place and consistently applied to certification of plants, plant products and other regulated articles for export. It can also be used by the NPPO as a basis for the development of its own manuals of procedures tailored to the national context.

This manual is not a guide book on phytosanitary inspection procedures. Rather it systematically describes many of the main elements

for phytosanitary certification conducted by the NPPO of the exporting country.

The NPPO should have the sole authority by legislative or administrative means to conduct, develop and maintain a phytosanitary certification system related to exports and re-exports and should bear the legal responsibility for its actions in using this authority, in accordance with Article IV.2(a) of the IPPC. Export certification functions of the NPPO and contracting parties are presented in this manual.

Managerial requirements of a national phytosanitary export certification system to ensure that all legislative and administrative requirements related to phytosanitary certification are satisfied are discussed, as well as the operational requirements to ensure that capability exists for export certification. The obligations and responsibilities of the NPPO of the exporting country are presented together with the activities to be undertaken to ensure that certification procedures are compliant with the importing country's requirements.

Sources of official information and the type of official information to be collected to guide the certification process are discussed. The manual gives guidance on responses of the NPPO of the exporting country to some specific requirements from the importing country. It discusses the limitations of inspection as a sole phytosanitary measure applied to exports. Examples of some specific requirements are: requirement that the plant, plant products or regulated articles be taken from a pest free area, pest free site of production or area of low pest prevalence; requirement that the consignment be produced under a product certification scheme that ensures freedom from the pest; treatment and certification; inspection as a

stand-alone measure; and measures required during transportation.

The preparation and issuance of phytosanitary certificates and associated documents are critical steps in the certification process. Phytosanitary certificates are issued to attest that plants, plant products or other regulated articles meet the phytosanitary import requirements of importing countries and are in conformity with the certifying statement. The manual discusses factors that should be considered when preparing and issuing phytosanitary certificates. Invalid phytosanitary certificates are also described (as outlined in ISPM 12).

The importance of good stakeholder–NPPO relations is discussed and possible roles of producers, exporters, re-exporters, service providers, customs

and handlers as major stakeholders in the export certification programme are examined. The NPPO can take steps to ensure that these groups have the appropriate levels of awareness, knowledge and phytosanitary information for meaningful collaboration in all aspects of the process.

The manual gives guidance on record-keeping, the types of records to be kept, data gathering and how records should be maintained. It provides guidance to the NPPO of the exporting country for dealing with non-compliance reports from the NPPO of the importing country. Provisions for review of any incidents in which the importing country's requirements were not met as well as periodic review of the phytosanitary export certification system or components thereof are also discussed.



# 1. Introduction

“The purpose of the IPPC is to secure common and effective action to prevent the spread and introduction of pests of plants and plant products” (FAO, 2002). In line with this aim is the obligation of exporting countries to certify that plants, plant products and other regulated articles for export are free from pests that are regulated in the importing country. A phytosanitary certificate, issued after completion of all certification activities leading to its issuance, attests to the conformity of the commodity with the requirements of the importing country.

The International Plant Protection Convention (IPPC) provides model phytosanitary certificates for export and for re-export. These instruments of harmonization establish the basis on which contracting parties, through their national plant protection organizations (NPPOs), honour the requirements of the importing country in the spirit of international cooperation. International Standards for Phytosanitary Measures (ISPM) no. 7 (*Phytosanitary certification system*) provides specific guidance to NPPOs on the requirements and components of a phytosanitary certification system. ISPM 12 (*Phytosanitary certificates*) covers the requirements and guidelines for the preparation and issuance of phytosanitary certificates (both for export and for re-export).

This manual addresses aspects of the implementation of ISPM 7 and ISPM 12. It covers the establishment and operation of a phytosanitary export certification system. The scope is limited to verifying compliance of exported plants,

plant products and other regulated articles with importing country requirements. It describes the administrative, institutional and operational requirements of a national phytosanitary export certification system. Both technical and managerial requirements are considered as key components of a functional credible phytosanitary export certification system. The manual presents the obligations and how they may be met, and references these against the specific requirements of the IPPC.

The manual presents a range of specific situations of importing country requirements and considers appropriate responses by the NPPO of the exporting country. There may be other situations which are equally appropriate, but which are not captured here. The preparation and issuance of phytosanitary certificates are dealt with in some detail to allow NPPOs to examine their current procedures against those outlined in the relevant ISPMs.

The manual may be used as a practical guide for managers of the NPPO establishing a national phytosanitary export certification system and for ensuring that appropriate procedures for effective credible certification activities and accountability are in place and consistently applied to certification of plants, plant products and other regulated articles for export. The manual can also be used by the NPPO as a basis for the development of its own manuals of procedures tailored to its national context.

## 2. Legal Authority

The NPPO should have the sole authority by legislative or administrative means to conduct, develop and maintain a phytosanitary certification system related to exports and re-exports, and should bear the legal responsibility for its actions in using this authority, in accordance with Article IV.2(a) of the IPPC.

The NPPO has the sole authority to issue phytosanitary certificates in accordance with Article V.2(a) of the IPPC.

The NPPO may have the authority to prevent the export of consignments that do not meet phytosanitary import requirements (ISPM 7, section 1). Specific national legislation will determine the strength of this authority.

Article V.1 of the IPPC states: "Each contracting party shall make arrangements for phytosanitary certification, with the objective of ensuring that exported plants, plant products and other regulated articles and consignments thereof are in conformity with the certifying statement".

### Certifying Statement

This is to certify that the plants, plant products or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from the quarantine pests specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party, including those for regulated non-quarantine pests.

From: Model phytosanitary certificate (Annex to IPPC, 2007)

### 3. Export Certification Functions of the NPPO

The IPPC outlines clear responsibilities of the NPPO and contracting parties. These responsibilities include those that relate to export certification as follows.

<b>Functions of the NPPO relating to export certification</b>	IPPC Article IV.2(a–h)
The issuance of phytosanitary certificates.	ISPM 7 and ISPM 12, IPPC model phytosanitary certificate
The surveillance of growing plants, particularly with the object of reporting the occurrence, outbreak and spread of pests, and of controlling those pests.	Article VIII.1(a) and ISPM 6
The inspection of consignments of plants, plant products and other regulated articles moving in international traffic.	ISPM 15, ISPM 23 and ISPM 26
The disinfestation or disinfection of consignments of plants, plant products and other regulated articles moving in international traffic.	ISPM 18
The protection of endangered areas and the designation, maintenance and surveillance of pest free areas and areas of low pest prevalence.	ISPM 4, ISPM 8, ISPM 10, ISPM 26 and ISPM 29
<b>Contracting party obligations in support of the functions of the NPPO</b>	Article IV.3
Each contracting party shall make provision, to the best of its ability, for the following:	
<ul style="list-style-type: none"> <li>• the distribution of information within the territory of the contracting party regarding regulated pests and the means of their prevention and control</li> </ul>	Article IV.3(a)
<ul style="list-style-type: none"> <li>• a description of its official NPPO and of changes in such organization to the Secretary of the CPM</li> </ul>	Article IV.4
<ul style="list-style-type: none"> <li>• a description of its organizational arrangements for plant protection to another contracting party, upon request (important for equivalency of measures and audit functions).</li> </ul>	Article IV.4 and International Phytosanitary Portal
<b>International cooperation</b>	
The contracting parties shall cooperate with one another to the fullest practicable extent.	Article VIII.1
Cooperate in the exchange of information on plant pests, particularly reporting the occurrence, outbreak or spread of pests that may be of immediate or potential danger, in accordance with procedures established by the CPM.	Article VIII.1(a)
Participate, in so far as is practicable, in any special campaigns to combat pests that may seriously threaten crop production and need international action to meet the emergencies.	Article VIII.1(b)
Cooperate, to the extent practicable, in providing technical and biological information necessary for pest risk analysis.	Article VIII.1(c)

## 4. Requirements of the National Phytosanitary Export Certification System

The NPPO should take into account the various modalities that may be used in a country for exporting agricultural commodities in establishing how to implement phytosanitary procedures and measures with the aim of ensuring compliance with import phytosanitary requirements (Annex 1).

Some of these modalities may include:

- ◆ the entire export chain – growing, packing and exporting – managed by the exporter
- ◆ point of product consolidation, such as a packing facility, where commodities from various independent growers are deposited, packed and either directly exported or sold to a third party (packer-exporter) for export
- ◆ export-ready commodity bought by a company or person directly from a packing facility for export.

In all cases, procedures should be applied within a phytosanitary export certification system in order to comply with phytosanitary import requirements. It is recommended that there be a register of the different exporters to facilitate efficient communication and exchange of phytosanitary information among the stakeholders being served.

### 4.1 Management requirements

The NPPO should have a management system that ensures that all legislative and administrative requirements related to phytosanitary certification are satisfied. The management system should, for example:

- ◆ Identify a person or office within the NPPO responsible for the national phytosanitary certification system, as this will facilitate:
  - focused accountability of export functions
  - effective planning of export certification operations and programmes
  - effective execution of operations
  - liaison with the IPPC official contact point, exporters and NPPO of the importing country.

- ◆ Identify the duties and communication channels of all personnel involved in phytosanitary certification; for example, personnel responsible for undertaking specific functions in the certification process as outlined in the operational requirements. Clear communication channels should facilitate:

- vertical and lateral communications between line managers and staff
- effective communication among staff, producers and exporters and other relevant stakeholders involved in export operations
- timely dialogue and action in all aspects of the certification process
- timely addressing of any issues arising during the certification process.

- ◆ Ensure that adequate personnel and resources are available.

- ◆ Employ or authorize personnel who have appropriate qualifications and skills to have a system that:

- is credible and reliable
- instils confidence in trading partners
- can respond with decisive decision-making
- can fulfil importing countries' requirements
- supports market access.

Phytosanitary measures are not static but continue to be modified. Changes will depend on the phytosanitary capabilities and circumstances of the exporting country, the changing requirements of importing countries and adoption of new ISPMs that are relevant for particular countries to implement. This will require selection and retention of staff with relevant competences, and ongoing training of staff at various levels of competence. This may include:

- ◆ setting minimum requirements for hiring and retaining staff, which may be a combination of education and experience that matches the level of complexity required for the task (these would be different for different kinds of inspectors, managers and other roles)

- ◆ relevant training in management for programme and line managers
  - ◆ training of technicians in specific areas such as pest risk analysis (PRA), surveillance for specific pests, pest diagnoses, treatments and export certification
  - ◆ training in new ISPMs and their implementation
  - ◆ training in new national regulations and their implementation
  - ◆ other training relevant for both new and existing staff.
    - The NPPO should note the following.
  - ◆ Adequate resources are necessary to support robust NPPO programmes.
  - ◆ Secured sources of funding, including resources for dealing with phytosanitary emergencies and crises, are vital for planning, stability and predictability of export certification services.
  - ◆ Personnel and institutions may be authorized to perform functions on the NPPO's behalf where these resources do not exist within the NPPO.
    - Where resources do not exist within the NPPO, except for the issuance of phytosanitary certificates, non-governmental personnel may be authorized by the NPPO to perform specified certification functions. In such situations, the NPPO remains responsible for the supervision of authorized personnel. To be authorized, such personnel should be qualified and skilled, and accountable to the NPPO. They should be subject to restrictions and obligations equivalent to those for government officials and have no conflict of interest (financial or otherwise) that may affect the outcome of their functions.
- ## 4.2 Operational requirements for export certification
- Export certification requires that NPPO personnel possess (or have access to) the relevant competencies to undertake activities required for this function. ISPM 7 outlines activities for which trained personnel should be available. The NPPO should have the capability to undertake the following functions.
- ◆ Technical requirements:
    - perform inspection, sampling and testing of plants, plant products and other regulated articles for purposes related to phytosanitary certification
    - detect and identify pests
    - identify plants, plant products and other regulated articles
    - perform, supervise or audit the required phytosanitary treatments
    - perform surveys, monitoring and control activities to confirm the phytosanitary status attested in phytosanitary certificates
    - complete and issue phytosanitary certificates.
  - ◆ Managerial requirements:
    - document and maintain information on phytosanitary import requirements and provide appropriate work instructions to personnel involved
    - verify that appropriate phytosanitary procedures (and operational instructions) have been established and correctly applied to ensure that phytosanitary import requirements are met
    - ensure, through appropriate procedures, the phytosanitary security of consignments after phytosanitary certification prior to export
    - archive copies of phytosanitary certificates issued and other relevant documents
    - investigate and take corrective actions on any notification of non-compliance
    - review the effectiveness of phytosanitary certification systems
    - implement safeguards against potential problems such as conflicts of interest and fraudulent issuance and use of phytosanitary certificates
    - conduct training for personnel
    - verify the competence of authorized personnel.



## 5. Obligations, Responsibilities and Activities of the NPPO of the Exporting Country

The NPPO in the exporting country has specific obligations to its trading partners and the importing country to ensure that certification procedures are compliant with country import requirements. It is expected to:

1. Provide, on request, all necessary information on pests associated with commodities to be exported in order to facilitate a PRA by the importing country (IPPC Article VIII.1(c) "Cooperate, to the extent practicable, in providing technical and biological information necessary for pest risk analysis").  
This entails the following activities:
  - ◆ conducting surveillance on crops/commodities to be exported
  - ◆ establishing complete commodity pest lists for those commodities to be exported
  - ◆ maintaining and updating commodity pest lists, preferably in electronic format for ease of manipulation
  - ◆ providing information, when requested, on pest management practices for pests associated with the commodity and mitigation measures undertaken by the exporting country regarding specific pests
  - ◆ providing information on:
    - pest prevalence and occurrence in designated areas from which consignments may be taken for export
    - host range and distribution of the pest in the country of origin
    - economic and other impacts of the pest in the country of origin.
2. Provide information on any change in pest status associated with any export commodity:
  - ◆ outbreaks of pests in the areas from which the commodity is exported
  - ◆ detection and occurrence of new or unidentified pests
  - ◆ successful eradication of a regulated pest.
3. Advise on any change in pest status in pest free areas (PFAs), areas of low pest prevalence (ALPPs), pest free places of production (PFPPs) and pest free production sites (PFPSs) by:
  - ◆ providing surveillance data to demonstrate establishment and maintenance of a pest in an area(s)
  - ◆ targeting pests for which pest status has changed
  - ◆ providing details of the surveillance programme that may be requested.
4. Certify exports according to importing country requirements (IPPC Article IV.2(a) "The issuance of certificates relating to the phytosanitary regulations of the importing contracting party for consignments of plants, plant products and other regulated articles"). The NPPO is required to:
  - ◆ obtain the official import requirements of the importing country
  - ◆ ensure that all procedures and activities of the certification process are conducted to support the issuance of a phytosanitary certificate in accordance with the requirements of the importing country
  - ◆ address additional requirements as stated on the import permit and include in or with the phytosanitary certificate where applicable
  - ◆ take appropriate action in cases where the consignment does not comply with importing country requirements
  - ◆ issue phytosanitary certificates.  
Certification procedures may include any or all of the following activities:
    - ◆ inspection of the commodity (during the growing season or after harvest as appropriate) (Article IV.2(c); ISPM 23)
    - ◆ testing for viruses and other pathogens during the growing season
    - ◆ laboratory tests as appropriate for specific pathogens

- ◆ disinfestation or disinfection of consignments of plants, plant products and other regulated articles moving in international traffic, to meet phytosanitary requirements (Article IV.2(d)) – treatments may be applied during the growing season or after harvest as appropriate
  - ◆ attesting that a commodity taken from designated areas has a pest free status, that such status is maintained and that the commodity can be traced back to these areas.
5. Ensure the phytosanitary integrity of consignments to be exported (Article IV.2(g) "To ensure through appropriate procedures that the phytosanitary security of consignments after certification regarding composition, substitution and reinfestation is maintained prior to export"). The NPPO has responsibility to ensure that:
- ◆ certified consignments are maintained free from pests
  - ◆ seals, stamps and other identifying marks remain intact
  - ◆ consignment composition and quantity remain as was certified
  - ◆ packaging remains unaltered
  - ◆ all handlers and stakeholders of the consignment to be exported are aware of the need for maintaining the phytosanitary integrity of the consignment
  - ◆ sealed containers or other carriers are not opened by unauthorized personnel.

## 6. Obtaining the Importing Country's Requirements

The purpose of phytosanitary export certification is to confirm that the phytosanitary import requirements of the importing country have been met. In order to do this, the exporting country must know what the import requirements are for commodities being exported to a trading partner. This section outlines the process of obtaining import requirements that have already been set. Phytosanitary import requirements should be technically justified, in accordance with Article VI.1(b) of the IPPC.

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*Phytosanitary import requirements should be technically justified (Article VI.1(b))*

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### 6.1. Sources of official information

Phytosanitary certification should be based on official information from the importing country. The NPPO of the exporting country should have available current official information on the phytosanitary import requirements of the importing country. Such information may be kept in databases and updated as required.

In many cases, the NPPO of the exporting country relies on import requirements provided on the import permit. This may be sufficient if the import permit is valid and current. However, the NPPO should have the means to verify these requirements based on the following obligations of the importing country to provide official import regulations.

- ◆ Provide official information regarding import requirements to the country of export, the IPPC Secretariat and regional plant protection organization(s) (RPPO(s)) of which they are a member (ISPM 20, section 5.1.9.2).
- ◆ Immediately upon their adoption, publish and transmit phytosanitary requirements, restrictions and prohibitions to any contracting party that may be directly affected by such measures (IPPC Article VII.2(b)).

- ◆ Provide information on restrictions regarding points of entry where appropriate (Article VII.2(d)).
- ◆ Establish, update and make available lists of regulated pests, using scientific names (Article VII.2(i)).

Official information may be obtained from:

- ◆ the official IPPC contact point in the NPPO of the importing country
- ◆ the [International Phytosanitary Portal](#) of the IPPC
- ◆ the embassy of the importing country in the exporting country
- ◆ databases operated by the NPPOs of importing countries
- ◆ official communication directly between NPPOs
- ◆ relevant RPPO(s).

Where the NPPO of the importing country has not complied with any or all of the above obligations, the NPPO of the exporting country should contact the NPPO of the importing country directly for verification of import requirements.

### 6.2 Official information to be collected

Certifying officers should know and understand the significance of all aspects of the phytosanitary certification process in the context of the requirements of the importing country. Official information to be collected includes:

- ◆ whether an import permit is required
- ◆ whether a phytosanitary certificate must be issued
- ◆ the list of regulated pests against which phytosanitary certification is needed
- ◆ what additional declarations are required
- ◆ what special conditions, if any, apply before and during transport
- ◆ if and what additional certification documents are required
- ◆ duration of validity of phytosanitary certificate, if defined by the importing country
- ◆ point of entry into the importing country, if appropriate.

## 7. Certification for Specific Requirements

The measures required for certification should be risk-based and depend on the nature of the pest associated with the commodity and the requirements of the importing country. This section deals with some specific requirements. Other import requirements may include the use of integrated measures in a systems approach (ISPM 14) if more appropriate and preferred to a single measure. The NPPO of the exporting country should ensure that the set of integrated measures when applied is the least trade restrictive and provides the equivalent level of phytosanitary protection required by the NPPO of the importing country (ISPM 24).

Examples of some specific requirements and appropriate responses are given below.

### 7.1 Requirement that the plants or plant products are taken from a PFA, PFPS, PFPP or ALPP

This is normally required for plant material which may have very high quarantine pest risks, e.g. viruses, bacteria (including phytoplasma) or fruit flies.

In order to fulfil this requirement, the exporting country should have:

- ◆ officially established and maintained areas of pest freedom and ALPPs (ISPM 4, ISPM 6, ISPM 10, ISPM 14, ISPM 29 and ISPM 30)
- ◆ appropriate safeguards for maintaining the pest free status or ALPP
- ◆ surveillance data to verify the status of the production area or site
- ◆ acceptance of the status by the importing country.

Where the above exist, the NPPO of the exporting country is obliged to verify:

- ◆ the site of production of the consignment
- ◆ appropriate measures to maintain pest freedom or ALPP during handling, storage and transport
- ◆ traceability of the consignment
- ◆ that integrity and security of the consignment is maintained

- ◆ delivery of supporting documents or information in accordance with the importing country's request to assure pest freedom or ALPP.

Suggested wording as appropriate for the additional declaration may be as follows:

The consignment was produced in a:

- ◆ pest free area for \_\_\_\_\_ (name of pest(s))
- ◆ area of low pest prevalence for \_\_\_\_\_ (name of pest(s))
- ◆ pest free place of production for \_\_\_\_\_ (name of pest(s))
- ◆ pest free production site for \_\_\_\_\_ (name of pest(s)).

### 7.2 Requirement that the consignment be produced under a product certification scheme which ensures freedom from the pest

This requirement may be very similar in nature to that of pest freedom or low prevalence, but may not necessarily satisfy the technical requirements for such status. This may apply to situations, such as a citrus certification scheme or special conditions for producing seed potatoes or other planting material, where quality and phytosanitary issues are dealt with through a set of integrated measures to mitigate the associated risks. In this situation, the NPPO of the exporting country should ensure that:

- ◆ measures used are acceptable to the importing country
- ◆ laboratories used for testing are authorized by the NPPO
- ◆ ongoing/current surveillance data on the incidence of pests to be regulated are available
- ◆ surveillance and laboratory reports are made available to the importing country upon request
- ◆ the area from which the product is taken is identified and documented for trace-back purposes
- ◆ the incidence of any regulated pest found during surveillance is recorded along with the corrective

measures taken (the NPPO of the importing country should be notified of such incidences promptly before export).

For this requirement, examples of the additional declaration may be as follows and as appropriate:

- ◆ the place of production/production site/field was inspected during the growing season and found to be free from \_\_\_\_\_ (name of pest(s))
- ◆ the plants / mother plants were inspected during the last growing season(s) and found to be free from \_\_\_\_\_ (name of pest(s))
- ◆ the plants were produced *in vitro* (specify *in vitro* technique) and found to be free from (name of pest(s))
- ◆ the plants were derived from mother plants that were tested (method may be specified) and found free from \_\_\_\_\_ (name of pest(s))
- ◆ this consignment was produced and prepared for export in accordance with \_\_\_\_\_ (name of programme)
- ◆ this consignment was produced and prepared for export in accordance with \_\_\_\_\_ (name of certification programme / reference to specific import requirement or bilateral agreement)
- ◆ this consignment was produced from plant varieties resistant to \_\_\_\_\_ (name of pest)
- ◆ the consignment was tested (method may be specified) and found free from \_\_\_\_\_ (name of pest)
- ◆ plants for planting in this consignment are in compliance with \_\_\_\_\_ (specify tolerance level(s) established in phytosanitary import requirements for \_\_\_\_\_ (specify the regulated non-quarantine pest(s))).

## 7.3 Treatment and certification

### 7.3.1 Treatment

The type of treatment required may be mechanical, chemical, irradiation, physical or controlled atmosphere treatments. Treatments result in killing, inactivation or removal of pests, render pests infertile or devitalize pests. ISPM 28 (*Phytosanitary treatments for regulated pests*) gives important guidelines regarding specific requirements for the treatment of regulated pests in international trade. Some

treatments are supported by extensive research data and others are used on the basis of historical evidence supporting their efficacy.

There are two conditions which may guide the responses to treatment in support of certification.

1. Where the NPPO of the importing country specifies a treatment that is technically justified, this should be applied as long as it is technically and financially feasible.
2. Where the NPPO of the exporting country cannot meet the specific requirement but has alternative equivalent measures, the NPPO of the exporting country should:
  - ◆ inform the importing country of the alternative measure(s) available (equivalence of measures)
  - ◆ provide data on efficacy, specificity and applicability to demonstrate the efficacy of the equivalent measure(s)
  - ◆ where applicable provide pest-specific data regarding the specified measure
  - ◆ not certify with alternative measures unless agreed to by the NPPO of the importing country.

In both cases above, section III (Disinfestation and/or Disinfection Treatment) of the phytosanitary certificate should be completed with the corresponding treatment information.

## 7.4 Export inspection as a stand-alone measure for certification

An importing country NPPO may require inspection as the only phytosanitary measure to be applied to a consignment. Export inspection is used to ensure that the consignment to be exported meets phytosanitary import requirements which may not be specified in detail. In this case, the NPPO should note that this measure alone may not be sufficient when used, for example, to:

- ◆ determine latent infections by pathogens
- ◆ detect internal feeders that leave no visible signs on the outside of the plant, plant product or other regulated articles
- ◆ detect eggs and early stages of insect pests or mites.

In these situations, export inspection of a commodity may be enhanced by additional inspections or measures:

- ◆ during the growing season
- ◆ at harvest
- ◆ before or during packing
- ◆ before transportation to storage place.

### Inspection

Official visual examination of plants, plant products or other regulated articles to determine if pests are present and to determine compliance with phytosanitary regulations

[FAO, 1990; revised FAO, 1995; formerly "inspect"]

However, where the NPPO of the exporting country is confident that inspection alone is sufficient then the additional declaration may be as follows:

The consignment was inspected and found free from \_\_\_\_\_ (name of pest(s)).

## 7.5 Measures required during transport

### 7.5.1 Modified atmospheres

The use of a modified atmosphere as a phytosanitary measure is generally requested and applied in situations where associated regulated pests are not likely to survive the required atmospheric conditions during transport. It may be used as a supporting measure to give protection against, for example,

fruit flies associated with citrus, mangoes and other fruits. Failure of modified atmosphere systems contributes to reports of non-compliance by the importing country. Note that some countries have specific requirements for containers used for cold treatment.

The NPPO of the exporting country has the responsibility to ensure that any specific requirements regarding the container are satisfied, including:

- ◆ the physical condition of the container to ensure phytosanitary security and integrity
- ◆ temperature and humidity controls
- ◆ systems for monitoring temperature and humidity are reliable so that records of the conditions during transport time are readily available for verification.

### 7.5.2 Fumigation and other chemical treatments applied for transported consignments

Where such treatments are applied, the NPPO of the exporting country is responsible for:

- ◆ providing information to the NPPO of the importing country on the treatment applied, including any safety precautions required during clearance
- ◆ ensuring the physical condition of packing and the container is suitable for effective treatment
- ◆ maintaining security over official seals and marks
- ◆ ensuring traceability of consignments, including their identification and phytosanitary security (as appropriate) through all stages of production, handling and transport prior to export.

## 8. Preparation and Issuance of Phytosanitary Certificates

The preparation and issuance of the phytosanitary certificates and associated documents are critical steps in the certification process. Phytosanitary certificates are issued to attest that plants, plant products or other regulated articles meet the phytosanitary import requirements of importing countries and are in conformity with the ISPM 12 certifying statement. ISPM 12 provides guidance on all aspects of phytosanitary certificates and their preparation.

In the Annex to the Convention, two types of model phytosanitary certificate are provided:

- ◆ phytosanitary certificate for export purposes (see ISPM 12; IPPC Annex; Annex 2 of this manual)
- ◆ phytosanitary certificate for re-export purposes (see ISPM 12; IPPC Annex; Annex 3 of this manual).

A phytosanitary certificate:

- ◆ is issued by the NPPO of the country of export
- ◆ describes the consignment and, through a certifying statement, additional declarations and treatment records, declares that the phytosanitary status of the consignment meets phytosanitary import requirements
- ◆ may be issued in re-export situations for plants, plant products and other regulated articles originating in countries other than the country of re-export if the phytosanitary status of the consignment can be determined by the country of re-export (e.g. by inspection).

The phytosanitary certificate for re-export provides a link to a phytosanitary certificate issued in the country of export and takes into account any changes in phytosanitary status that may have occurred in the country of re-export.

A phytosanitary certificate for re-export may be issued by the NPPO of the re-exporting country where the commodity in the consignment was not grown or processed to change its nature in that country and only where an original phytosanitary

certificate for export or a certified copy of that certificate is available.

Procedures for managing the issuance of the two types of phytosanitary certificates and the systems that ensure their legitimacy are the same.

### 8.1 Contents of phytosanitary certificates

Model export and re-export phytosanitary certificates annexed to the IPPC are provided for harmonization purposes among NPPOs. They provide for:

- ◆ consistent wording to be followed in preparing the certificates
- ◆ consistency in format and content of the document
- ◆ easy recognition of the document.

The phytosanitary certificate:

- ◆ should contain the necessary information to clearly identify the consignment to which it relates
- ◆ should describe the consignment and, through a certifying statement, additional declarations and treatment records, declare that the phytosanitary status of the consignment meets import requirements
- ◆ must be dated, signed and stamped, sealed, marked or completed electronically by the NPPO of the exporting or re-exporting country.

In the certifying statement on the phytosanitary certificate for re-export, the NPPO of the country of re-export indicates by inserting ticks in the appropriate boxes:

- ◆ whether the phytosanitary certificate for re-export is accompanied by the original phytosanitary certificate or a certified copy of it
- ◆ whether the consignment has been repacked or not
- ◆ whether the containers are original or new
- ◆ whether an additional inspection has been done.

## 8.2 Attachments to the phytosanitary certificate

- ◆ If the information required to complete the phytosanitary certificate exceeds the available space on the form, an attachment may be added.
- ◆ Only include information that is required on the phytosanitary certificate.
- ◆ All pages of attachments should bear the number of the phytosanitary certificate and should be dated, signed and stamped in the same manner as required for the phytosanitary certificate.
- ◆ The phytosanitary certificate should refer to any attachments in the appropriate section.
- ◆ If an attachment has more than one page, the pages should be numbered and the number of pages indicated on the phytosanitary certificate.

Other relevant documents may accompany the consignment along with the phytosanitary certificate, but such documents should not be considered attachments to the phytosanitary certificate nor should they be referenced on the phytosanitary certificate.

## 8.3 Format

NPPOs should use a single format for each certificate. An NPPO may use paper format or electronic format.

The electronic phytosanitary certificate is the electronic equivalent of the paper form, including the certifying statement, transmitted by authenticated and secure electronic means from the NPPO of the exporting country to the NPPO of the importing country. It may be used if:

- ◆ the mode of issue, transmission and level of security is acceptable to the NPPO of the importing country and, if relevant, to NPPOs of other countries involved
- ◆ the information provided is consistent with the IPPC model phytosanitary certificates
- ◆ the purpose of phytosanitary certification under the IPPC is realized
- ◆ the identity of the issuing NPPO can be adequately established and authenticated.

## 8.4 Specific considerations for the preparation and issuance of a phytosanitary certificate

ISPM 12, section 4 details specific considerations for the preparation of a phytosanitary certificate, while section 5 details guidelines and requirements for completing sections of a phytosanitary certificate for export (Annex 4).

The importing country may have specific requirements regarding the presentation of the contents of the phytosanitary certificate. In this case, or even without specific requests, the NPPO officer preparing the phytosanitary certificate should:

- ◆ Ensure that phytosanitary certificates are completed in a specific language or one of its listed languages (however, countries are encouraged to accept one of the official languages of FAO, preferably English).
- ◆ Observe the period of time stated for issuance after inspection or treatment and the period of time between the issuance of the phytosanitary certificate and the dispatch of the consignment from the exporting country.
- ◆ Complete the phytosanitary certificate by typing or handwriting in legible capital letters (where the language allows it).
- ◆ Use specified units of measurement (where required) in the description of the consignment and for other declared quantities.
- ◆ Complete all sections of the phytosanitary certificate – where no entry is made, enter the term "NONE" or draw a line through the section to prevent unauthorized additions.
- ◆ Obtain from the country of origin any additional information to support a re-export certificate where an export certificate is required.
- ◆ Issue the phytosanitary certificate before dispatch so that it accompanies the consignment.
- ◆ Issue after dispatch of a consignment where circumstances require, provided that:
  - the phytosanitary security of the consignment has been assured, *and*
  - the NPPO of the exporting country has undertaken sampling, inspection and



treatments necessary to satisfy phytosanitary import requirements before dispatch of the consignment.

- ◆ Where phytosanitary certificates are issued after dispatch, indicate the inspection date in the additional declaration section if required by the importing country (ISPM 12).
- ◆ The inspector may replace, on request of the exporter and only in exceptional cases, a phytosanitary certificate that has been issued and assign a new phytosanitary certificate number and clearly indicate the phytosanitary certificate it replaces.

The NPPO should not issue a phytosanitary certificate if these criteria are not met.

## 8.5 Authorized personnel

ISPM 12, section 4 explains that the issuance of phytosanitary certificates shall be carried out by public officers who are technically qualified and duly authorized by the official NPPO to act on its behalf and under its control. Authorized personnel therefore include:

- ◆ officers from the NPPO
- ◆ other public officers (employed by government) who are duly qualified and authorized by the NPPO, even if not employed directly by the NPPO.

## 8.6 Duration of validity of phytosanitary certificates

The NPPO of the exporting or re-exporting country may:

- ◆ Restrict and define the duration of the validity of phytosanitary certificates after issuance, taking into account the likelihood of the consignment becoming infested or contaminated prior to export or re-export.
- ◆ Determine the likelihood of reinfestation or contamination taking into account:
  - type of packaging (sealed carton or loose packing)
  - storage environment (open air or enclosed)
  - type of commodity
  - conveyance
  - time of year
  - types of pests.

## 8.7 Considerations for preparing and issuing a phytosanitary certificate of re-export

Re-export conditions must meet the phytosanitary requirements of the importing country. Import conditions for the country of re-export may not be as stringent as the country to which the consignment is being re-exported and this has to be taken into consideration. Before issuing a certificate of re-export, the NPPO should:

- ◆ Examine the original phytosanitary certificate or certified copy that accompanied the consignment upon import and determine whether the requirements of the subsequent country of destination are more stringent, the same or less stringent than those certified by the phytosanitary certificate.
- ◆ Carry out additional inspections if the consignment is repacked or reloaded with its identity being affected or if a risk of infestation or contamination is identified.

If the consignment is not repacked and the phytosanitary security of the consignment has been maintained, the NPPO of the re-exporting country may:

- ◆ not need to undertake an additional inspection if the phytosanitary import requirements are the same or less stringent than those of the country of final destination
- ◆ undertake an additional inspection if the phytosanitary import requirements are different or more stringent, to ensure that the consignment conforms with the phytosanitary requirements of the importing country where this requirement can be met through inspection.

Where the country of destination has phytosanitary import requirements that cannot be fulfilled by the country of re-export, the country of re-export may issue a phytosanitary certificate for export or phytosanitary certificate for re-export if *either*:

- ◆ particular information on compliance has been included or declared on the phytosanitary certificate for export by the country of origin  
*or*
- ◆ an alternative phytosanitary measure can be applied (such as laboratory tests on samples or

treatments) that is considered equivalent to the phytosanitary import requirements proposed by the country of destination.

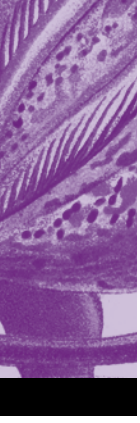
The NPPO of the exporting country should:

- ◆ base the additional declaration on the phytosanitary certificate for re-export on the activities of the NPPO of the country of re-export
  - ◆ not transfer additional declarations from the original phytosanitary certificate to phytosanitary certificates for re-export
  - ◆ establish suitable arrangements with the NPPOs of the countries of origin to exchange any additional information required – this may include an exchange of written correspondence between the respective NPPOs on phytosanitary measures applied at origin (e.g. growing season inspection, soil testing) to provide the assurance required for the country of re-export to certify the consignment as required by the country of destination
- ◆ provide the original phytosanitary certificate or a certified copy of the original phytosanitary certificate to accompany the consignment together with the phytosanitary certificate for re-export
  - ◆ provide assurance to the importing country related to the handling (e.g. splitting, combining, repacking, storage) of the consignment in the country of re-export when a phytosanitary certificate for re-export is issued
  - ◆ provide phytosanitary certificates for re-export and certified copies of the phytosanitary certificate from the country of export if the consignment is split up and the resulting consignments are re-exported separately
  - ◆ sign the certificate of re-export only after it is duly completed.

## 9. Invalid Phytosanitary Certificates

The NPPO should ensure that all the requirements regarding preparation of the phytosanitary certificates are correct, complete and in compliance with ISPM 12. Phytosanitary certificates are considered invalid if, for example, they have or they are:

- ◆ incomplete or incorrect information
- ◆ false or misleading information
- ◆ conflicting or inconsistent information
- ◆ wording or information that is inconsistent with the model phytosanitary certificates
- ◆ information added by unauthorized persons
- ◆ unauthorized (not stamped, dated or counter-signed) alterations or deletions
- ◆ an expired period of validity unless used as a certified copy for re-export
- ◆ illegible (e.g. badly written, damaged)
- ◆ non-certified copies
- ◆ transmitted through a mode of transfer unauthorized by the NPPO (for electronic phytosanitary certificates)
- ◆ phytosanitary certification of plants, plant products and other regulated articles prohibited for import.



## 10. NPPO and Stakeholder Relationships in Promoting Compliance in Phytosanitary Export Certification

Producers, exporters and re-exporters, service providers, customs and handlers are major stakeholders in the phytosanitary export certification system. Their understanding of the role of the NPPO under international agreements and their collaboration with the NPPO are vital for effective support to reliable export certification. The NPPO can take steps to ensure that these groups have the appropriate level of awareness, knowledge and phytosanitary information for meaningful collaboration in all aspects of the process.

The NPPO may establish procedures for the education of these groups and their engagement by:

- ◆ convening meetings or seminars to educate them on relevant regulations, procedures or decisions that affect them
- ◆ providing, if possible, a hotline for communication with these groups
- ◆ encouraging the reporting of new pests or pest outbreak(s) as promptly as possible
- ◆ providing updates or any change in requirements that may affect them
- ◆ encouraging shared responsibility for specific facilities and services that are critical to the success of their businesses
- ◆ identifying the role of each group in promoting phytosanitary control (examples given below).

Exporters and re-exporters may be encouraged to:

- ◆ cooperate with the NPPO throughout the phytosanitary certification process
- ◆ obtain importing country requirements for compliance with import requirements
- ◆ comply with NPPO guidance on establishing and maintaining pest freedom or low prevalence
- ◆ comply with procedures and treatment regimes recommended by the NPPO to be applied during production, harvest and post-harvest

- ◆ ensure traceability of produce to be certified and exported with adequate documentation
- ◆ promptly report pests or problems associated with the consignment
- ◆ make surveillance data available to the NPPO on request
- ◆ comply with the importing country NPPO requirements where appropriate
- ◆ improve their knowledge of pests associated with commodities.

Customs can be a reliable partner in:

- ◆ preventing the export of uncertified plants, plant products or other regulated articles where phytosanitary certification is required
- ◆ ensuring that the phytosanitary integrity of the consignment is maintained while it is in their custody
- ◆ reporting to the NPPO attempts to export uncertified consignments.

Third-party providers (e.g. disinfestation/disinfection companies) are used in consignment disinfestation or other activities on behalf of the NPPO. In this regard, these companies or agencies should be authorized to undertake responsible action on behalf of the NPPO. Authorization may be given to an institution, company or laboratory. Specific procedures may also be approved within an institution, for example, plant inspection procedures, certification procedures to which quality control is rigorously applied.

The process of authorization by the NPPO is described in the manual *Establishing a national plant protection organization* (IPPC, 2015). Authorized providers are vital, especially where the NPPO lacks the expertise or facilities necessary.

The NPPO should foster a good working relationship with authorized service providers and:

- ◆ keep them informed on national requirements under international standards or bilateral

- agreements and provide updates or changes in requirements
- ◆ monitor their performance to ensure compliance with the relevant ISPMs
  - ◆ inform them of non-compliance reports of cases in which they provided treatment
  - ◆ periodically audit for compliance within the framework agreement with the NPPO
  - ◆ encourage their prompt reporting of cases in which the certification process may have been compromised (e.g. equipment failure or improper procedure).



## 11. Record-keeping

The NPPO should keep records concerning:

- ◆ all procedures related to phytosanitary certification
- ◆ copies of phytosanitary certificates issued by the NPPO for the purposes of validation and traceability for an appropriate period of time (at least one year) using a secure electronic storage and retrieval system when possible for standardized documentation of records.

It may also be useful for the NPPO to record incidences of non-compliance related to non-certified exports.

For each consignment for which phytosanitary certificates are issued, the NPPO should keep records on:

- ◆ inspection, testing, treatment or other verification that was carried out
- ◆ samples taken
- ◆ names of the personnel who undertook these tasks
- ◆ the date on which the activity was undertaken
- ◆ results obtained.

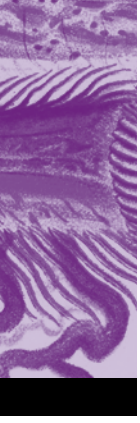
(See Annex 5 for sample report form.)

## 12. Non-compliance

The NPPO of the exporting country should investigate significant instances of non-compliance (ISPM 13) to determine the possible cause. The exporting contracting party or, where appropriate,

the re-exporting contracting party concerned, should investigate and, on request, report the result of its investigation to the importing contracting party concerned.





## 13. Review

The NPPO should make provision to review any incidents in which the importing country's requirements were not met as well as for periodic review of the export certification system or components thereof.



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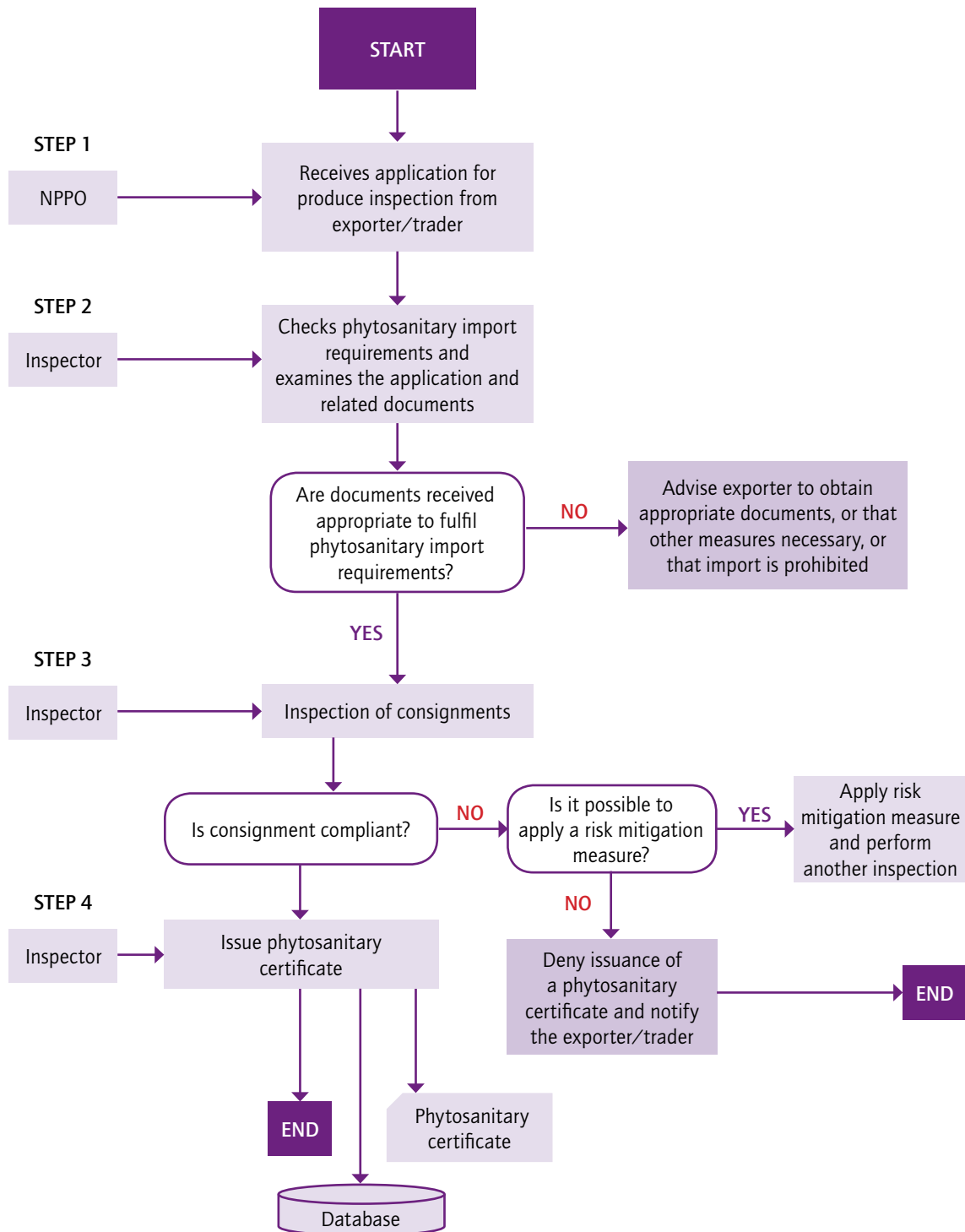
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**ISPM 31.** 2011. *Methodologies for sampling of consignments*. Rome, IPPC, FAO.

**ISPM 32.** 2012. *Categorization of commodities according to their pest risk*. Rome, IPPC, FAO.

Other available resources may include relevant standards published by RPPOs (e.g. North American Plant Protection Organization (NAPPO), European and Mediterranean Plant Protection Organization (EPPO) and the Asia and Pacific Plant Protection Convention (APPPC)).

# Annex 1: Export certification flow chart



# Annex 2: Model Phytosanitary Certificate for Export

[Original annexed to the IPPC]

No. \_\_\_\_\_

Plant Protection Organization of \_\_\_\_\_

TO: Plant Protection Organization(s) of \_\_\_\_\_

## I. Description of Consignment

Name and address of exporter: \_\_\_\_\_

Declared name and address of consignee: \_\_\_\_\_

Number and description of packages: \_\_\_\_\_

Distinguishing marks: \_\_\_\_\_

Place of origin: \_\_\_\_\_

Declared means of conveyance: \_\_\_\_\_

Declared point of entry: \_\_\_\_\_

Name of produce and quantity declared: \_\_\_\_\_

Botanical name of plants: \_\_\_\_\_

This is to certify that the plants, plant products or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from the quarantine pests specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party, including those for regulated non-quarantine pests.

They are deemed to be practically free from other pests.\*

## II. Additional Declaration

[Enter text here]

## III. Disinfestation and/or Disinfection Treatment

Date \_\_\_\_\_ Treatment \_\_\_\_\_ Chemical (active ingredient) \_\_\_\_\_

Duration and temperature \_\_\_\_\_

Concentration \_\_\_\_\_

Additional information \_\_\_\_\_

\_\_\_\_\_

Place of issue \_\_\_\_\_

(Stamp of Organization)

Name of authorized officer \_\_\_\_\_

Date \_\_\_\_\_

(Signature)

No financial liability with respect to this certificate shall attach to \_\_\_\_\_  
(name of Plant Protection Organization) or to any of its officers or representatives.\*

\* Optional clause

# Annex 3: Model Phytosanitary Certificate for Re-export

[Original annexed to the IPPC]

No. \_\_\_\_\_  
Plant Protection Organization of \_\_\_\_\_ (contracting party of re-export)  
TO: Plant Protection Organization(s) of \_\_\_\_\_ (contracting party of import)

## I. Description of Consignment

Name and address of exporter: \_\_\_\_\_  
Declared name and address of consignee: \_\_\_\_\_  
Number and description of packages: \_\_\_\_\_  
Distinguishing marks: \_\_\_\_\_  
Place of origin: \_\_\_\_\_  
Declared means of conveyance: \_\_\_\_\_  
Declared point of entry: \_\_\_\_\_  
Name of produce and quantity declared: \_\_\_\_\_  
Botanical name of plants: \_\_\_\_\_

This is to certify that the plants, plant products or other regulated articles described above \_\_\_\_\_ were imported into (contracting party of re-export) \_\_\_\_\_ from \_\_\_\_\_ (contracting party of origin) covered by Phytosanitary Certificate No. \_\_\_\_\_, \*original  certified true copy  of which is attached to this certificate; that they are packed  repacked  in original  \*new  containers, that based on the original phytosanitary certificate  and additional inspection , they are considered to conform with the current phytosanitary requirements of the importing contracting party and that, during storage in \_\_\_\_\_ (contracting party of re-export), the consignment has not been subjected to the risk of infestation or infection.

\*Insert tick in appropriate  boxes

## II. Additional Declaration

[Enter text here]

## III. Disinfestation and/or Disinfection Treatment

Date \_\_\_\_\_ Treatment \_\_\_\_\_ Chemical (active ingredient) \_\_\_\_\_  
Duration and temperature \_\_\_\_\_  
Concentration \_\_\_\_\_  
Additional information \_\_\_\_\_

Place of issue \_\_\_\_\_

(Stamp of Organization) Name of authorized officer \_\_\_\_\_

Date \_\_\_\_\_

(Signature)

No financial liability with respect to this certificate shall attach to \_\_\_\_\_ (name of Plant Protection Organization) or to any of its officers or representatives.\*

\* Optional clause

# Annex 4: Guidelines and Requirements for Completing Sections of a Phytosanitary Certificate for Export

**No.** \_\_\_\_\_

Have a unique identification number on each phytosanitary certificate for export to allow for trace-back of consignments; facilitates audits and serves for record-keeping.

**Plant Protection Organization of** \_\_\_\_\_

Enter the name of the country issuing the phytosanitary certificate for export along with the name of the NPPO.

**TO: Plant Protection Organization(s) of** \_\_\_\_\_

Enter the same country name in the *"TO: Plant Protection Organization(s) of"* and *"Declared name and address of consignee:"* and list any transiting countries within parenthesis if a transit country and the importing country require the names of both countries to be listed and that the transit country should be indicated.

**Name and address of exporter:** \_\_\_\_\_

Give only the address located in the exporting country. If an international company with a foreign address is the exporter, the name and address of an exporter's local agent or shipper should be used.

**Number and description of packages:** \_\_\_\_\_

Give the number of packages and their description. In cases of shipping containers and/or railcars containing grain or bulk timber, the term "container" may be used for the description of the package and the number (e.g. 10 containers). In cases of bulk shipments, the term "in bulk" may be used.

**Distinguishing marks:** \_\_\_\_\_

State the markings as they appear on packages (e.g. lot numbers, serial numbers or brand names) and conveyance identification numbers or names (e.g. container and railcar identification numbers or vessel name in the case of bulk shipments). If there are no distinguishing marks, enter "NONE".

**Place of origin:** \_\_\_\_\_

State the country or countries of origin – refers to place(s) where the commodity was grown or produced.

**Declared means of conveyance:** \_\_\_\_\_

Use terms such as "ocean vessel", "boat", "aircraft", "road", "truck", "rail", "mail" and "carried by hand" declared by the exporter. The ship's name and voyage number or the aircraft's flight number may be included if known.

**Declared point of entry:** \_\_\_\_\_

State the first point of arrival in the country of destination. If not known, give the country name. The entry point of the country of transit or, if not known, the country name should be noted in brackets if the country of transit has phytosanitary requirements for transiting consignments.

Check whether the declared point of entry is authorized; if the point of entry is not authorized, warn the exporter that the shipment may be delayed or refused entry.

**Name of produce and quantity declared:** \_\_\_\_\_

Give the name of the plant, plant product or other regulated article, unit and the quantity. The intended use (e.g. consumption, propagation) or degree of processing (e.g. fresh, dried) should be specified if necessary.

Never enter a grade, a commercial term or a trade name.

**Botanical name of plants:** \_\_\_\_\_

Insert accepted scientific names, to at least genus level but preferably to species level, to identify plants and plant products.

#### **Additional Declarations**

Note that additional declarations should be only those containing specific phytosanitary information required by the NPPO of the importing country or requested by the exporter for future phytosanitary certification purposes, and they should not repeat information that is otherwise noted in the certifying statement or in the treatment section.

#### **Disinfestation and/or Disinfection Treatment**

Treatments indicated should only be those that are acceptable to the importing country and are performed or initiated (in the case of transit) in the exporting country under the supervision or authority of the NPPO of the exporting country to meet the phytosanitary import requirements.

#### **Date**

Give the date that the treatment was applied to the consignment.

#### **Treatment**

Describe the type of the treatment method applied to the consignment (e.g. heat treatment, irradiation, fumigation, cold treatment, dip, spray).

#### **Chemical (active ingredient)**

State the common name of the active ingredient of the chemical applied in the treatment. Trade names are not acceptable.

#### **Duration and temperature**

State the duration of the treatment and temperature in the treatment (if applicable).

#### **Concentration**

State the concentration and dosage of the treatment applied.

#### **Additional information**

Give any relevant additional information that further identifies the treatment (e.g. slurry, dusted, sprayed).

**Table A4.1. Sampling rates for inspection of a consignment**

Guide to sampling by commodity class (applicable for end-point inspection for export or for import verification)

Commodity class	Commodity type	Consignment volume	Sampling rate
1	Plants and cuttings for planting	Less than 500 501–2 000 2 001–10 000 Over 10 000	100 percent 15 percent 8 percent 5 percent, at least 500
2	Fruit trees, small plants, ornamental trees	Less than 50 51–200 201–500 Over 500	100 percent 10 percent, at least 15 5 percent, at least 20 3 percent, at least 30
2	Bulbs, tubers, corms and roots for propagation	Less than 10 kg 11–100 kg Over 100 kg Less than 10 tonnes 11–50 tonnes 51–100 tonnes More than 100 tonnes	100 percent 10 percent, at least 100 pieces At least 5 percent, at least 200 pieces 5 subsamples, 1 litre 8 subsamples, 1.5 litres 10 subsamples, 5 litres 15 subsamples, 10 litres
3	Seeds: true seeds for propagation	Up to 500 kg 501 to 3 000 kg 3 001 to 20 000 kg samples Up to 5 containers 6–30 containers 31 or more containers	At least 5 primary samples One primary sample for each 300 kg, not less than 5 samples One primary sample for each 500 kg, not less than 10 Sample from each container Sample in every 3 containers, not less than 5 samples Sample in 1 of every 5 containers, not less than 10
4	Fresh fruit	Less than 10 11–100 101–1 000 More than 1 000	All units 10 percent, at least 5 2 percent, at least 10 1 percent, at least 20

Disclaimer: This table is not necessarily compatible with ISPM 32. In the absence of specific national sampling guidelines, these examples have been compiled from good practices from several countries and regions.



## Annex 5: Example of an Inspection Report

Item	Instructions
Name and Address of exporter	Enter name or ID number of the exporter and their address
Article to be exported	Enter name of commodity
Location of articles	Enter the place where you inspected the commodities
Amount of materials examined	Enter the percentage (how much) of commodities that were inspected
Amount of materials infested	Enter the percentage of commodities that were infested or infected
Findings and/or treatment	Enter all findings and/or treatments given as a result of inspection
Signature of officer	Inspecting officer to sign
Date and time inspected	Enter the date and time the commodities were inspected









## IPPC

The International Plant Protection Convention (IPPC) is an international plant health agreement that aims to protect cultivated and wild plants by preventing the introduction and spread of pests. International travel and trade are greater than ever before. As people and commodities move around the world, organisms that present risks to plants travel with them.

### Organization

- ◆ The number of contracting party signatories to the Convention exceeds 181.
- ◆ Each contracting party has a national plant protection organization (NPPO) and an Official IPPC contact point.
- ◆ 10 regional plant protection organizations (RPPOs) have been established to coordinate NPPOs in various regions of the world.
- ◆ IPPC liaises with relevant international organizations to help build regional and national capacities.
- ◆ The Secretariat is provided by the Food and Agriculture Organization of the United Nations (FAO).



### International Plant Protection Convention (IPPC)

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The IPPC Secretariat is hosted and provided by



**Food and Agriculture Organization  
of the United Nations**

