



NAPPO Regional Standards for Phytosanitary Measures (RSPM)

RSPM No. 19 Guidelines for Bilateral Workplans

North American Plant Protection Organization Secretariat
Observatory Crescent Bldg. #3
Central Experimental Farm
Ottawa, Ontario, K1A 0C6 Canada
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Review

NAPPO Regional Standards for Phytosanitary Measures are subject to periodic review and amendment. The next review date for this NAPPO standard is 2008. A review of any NAPPO Standard may be initiated at any time upon the request of a NAPPO member country.

Endorsement

This Standard was approved by the North American Plant Protection Organization (NAPPO) Executive Committee on October 19, 2003

Original signed by:

Gary Koivisto
Executive Committee Member
CANADA

Richard Dunkle
Executive Committee Member
UNITED STATES

Jorge Hernandez Baeza
Executive Committee Member
MEXICO

Implementation

See the attached Implementation Plan.

Amendment Record

Amendments to this Standard will be dated and filed with the NAPPO Secretariat. The most recent version will be posted on the NAPPO website at: www.nappo.org/stds_e.htm

Distribution

This standard is distributed by the Secretariat of the NAPPO within NAPPO, including Sustaining Associate Members and Industry Advisory Groups, to the FAO IPPC Secretariat and to the Administrative Heads of the Regional Plant Protection Organizations (RPPOs).

Introduction

Scope

This standard is as a guide for the elaboration of Bilateral Workplans between NAPPO member countries. Bilateral Workplans are intended to clearly identify the phytosanitary requirements for the export of plants and plant products from one NAPPO member country to another.

References

- Glossary of phytosanitary terms*, 2002. ISPM No.5, FAO, Rome.
- Glossary of phytosanitary terms*, 2002. RSPM No.5, NAPPO.
- Requirements for the establishment of pest free areas*, 1996. ISPM No. 4, FAO, Rome
- Requirements for the establishment of pest free places of production and pest free production sites*, 1999. ISPM No. 10, FAO, Rome
- Determination of pest status in an area*, 1998. ISPM No.8, FAO, Rome
- Pest risk analysis for quarantine pests including analysis of environmental risks*, 2003. ISPM No. 11, rev. 1, FAO, Rome
- Guidelines for Phytosanitary certificates*, 2001. ISPM No. 12, FAO, Rome
- Guidelines for the notification of non-compliance and emergency action*, 2001. ISPM No. 13, FAO, Rome
- The use of integrated measures in a systems approach for pest risk management*, 2002. ISPM No. 14, FAO, Rome
- Guidelines for regulating wood packaging material in international trade*, 2002. ISPM No. 15, FAO, Rome
- Regulated non-quarantine pests: concept and application*, 2002. ISPM No. 16, FAO, Rome
- Pest reporting*, 2003. ISPM No. 17, FAO, Rome
- Guidelines for the use of irradiation as a phytosanitary measure*, 2003. ISPM No. 18, FAO, Rome
- Guidelines on lists of regulated pests*, 2003. ISPM No. 19, FAO, Rome

Definitions, Abbreviations and Acronyms

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| 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 [FAO, 2002] |
| certificate | An official document which attests to the phytosanitary status of any consignment affected by phytosanitary regulations [FAO, 2002] |
| commodity | A type of plant, plant product, or other article being moved for trade or other purpose [FAO, 2002] |
| control (of a pest) | Suppression, containment or eradication of a pest population [FAO, 2002] |
| official | Established, authorized or performed by a National Plant Protection Organization [FAO, 2002] |

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| pest | Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products [FAO, 2002] |
| pest free area | 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 [FAO, 2002] |
| phytosanitary certificate | Certificate patterned after the model certificates of the IPPC [FAO, 2002] |
| phytosanitary certification | Use of phytosanitary procedures leading to the issue of a Phytosanitary Certificate [FAO, 2002] |
| phytosanitary measure (agreed interpretation) | Any legislation, regulation or official procedure having the purpose to prevent the introduction and/or spread of quarantine pests, or to limit the economic impact of regulated non-quarantine pests [FAO, 2002] |

The agreed interpretation of the term phytosanitary measure accounts for the relationship of phytosanitary measures to regulated non-quarantine pests. This relationship is not adequately reflected in the definition found in Article II of the IPPC (1997).

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| pre-clearance | Phytosanitary certification and/or clearance in the country of origin, performed by or under the regular supervision of the National Plant Protection Organization of the country of destination [FAO, 2002] |
| 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, 2002] |
| 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 [FAO, 2002] |
| regulated pest | A quarantine pest or a regulated non-quarantine pest [FAO, 2002] |
| systems approach(es) | The integration of different pest risk management measures, at least two of which act independently, and which cumulatively achieve the appropriate level of phytosanitary protection [FAO, 2002] |
| treatment | Officially authorized procedure for the killing or removal of pests or rendering pests infertile [FAO, 2002] |
| workplan | An official document specifying the phytosanitary measures agreed to by the National Plant Protection Organizations of both importing and exporting countries, intended to prevent the movement of regulated pests while facilitating trade of plants and plants products. [NAPPO, 2003]. |

Outline of Requirements

This standard provides a list of articles which should be included in a Bilateral Workplan. It describes the possible content of these articles in order to assist the parties in clearly identifying the requirements and responsibilities related to the movement of specific plants and plant products. The decision to develop a Bilateral Workplan will be a joint decision, taken by the importing and exporting countries. Bilateral Workplans should not be necessary for trade in all commodities.

Specific Requirements

1. Title

Each Workplan must have a title. The title should accurately and succinctly describe the subject of the Workplan and name the countries involved, for example: Operational Workplan for (commodity) from (country) to (country). In some cases, the title may describe requirements for two-way trade between countries.

2. Pests of Concern

Each Workplan must include a list of pests of concern. The list must specify the regulated pests for the importing country for the commodity covered by the Workplan. Other pests of concern may also be included.

3. Definitions, Abbreviations and Acronyms

All significant terms used in the Workplan must be defined. This helps prevent confusion and disagreements later when the Workplan is in effect.

As far as possible, the FAO Glossary of Phytosanitary Terms and the NAPPO Glossary of Phytosanitary Terms should be used.

4. Participants

All participants in both, importing and exporting countries must be clearly identified in the Workplan, including:

- a) public authorities who will apply phytosanitary measures, including phytosanitary certification.
- b) parties who will be involved with any aspect of trade in the commodity, including packinghouses, storage facilities, transportation companies, etc., and
- c) parties who will participate in applying phytosanitary measures or in related activities.

5. Responsibilities of Participants

This section should specify each participant's responsibilities, including financial obligations which contribute to meeting the goals of the Workplan.

6. Relevant authority

The relevant legislation, regulations, directives, standards and policies must be specifically identified.

The provisions of International Standards for Phytosanitary Measures (ISPMs) and Regional Standards for Phytosanitary Measures (RSPMs) should be identified and followed when appropriate.

7. Phytosanitary Measures

All pest risk management phytosanitary measures to be taken under the Workplan should be described in detail. These phytosanitary measures are intended to ensure that the exported commodity is free of quarantine pests and meets the tolerances specified by the importing country for regulated non-quarantine pests.

There are many phytosanitary measures which may be integrated into a systems approach for pest risk management.

Measures often included in Bilateral Workplans are:

7.1 Pre-harvest Measures

Pre-harvest measures are taken at the production site or surrounding areas, before a crop is harvested. Pre-harvest measures can include selection of plants for planting (e.g. plants from a clean stock program or disease resistance varieties), surveys, inspections, treatments, sampling size and methodology, testing and other phytosanitary measures.

If any required pre-harvest measures relate to pest free areas or production sites, they must comply with the provisions of the appropriate International Standards for Phytosanitary Measures. The appropriate Standards are usually ISPM No. 4 (*Requirements for the Establishment of Pest Free Areas*) and/or ISPM No.10 (*Requirements for the Establishment of Pest Free Places of Production and Pest Free Production Sites*).

7.2 Post-harvest Measures

These are measures taken after a crop is harvested, but prior to shipment. Post-harvest measures may include inspections, sampling, testing, treatments, and other phytosanitary measures. If sampling is required for inspection, the sampling methodology and sample size must be specified.

7.3 Safeguarding

If safeguarding is required, the Workplan must specify the type of safeguarding required and when it must be applied. Safeguarding may include special packaging, storage requirements, sealing, etc.

8. Auditing

The NPPO of the importing country may undertake audits of the procedures specified in the Workplan. These audits may be conducted at origin or at point of entry. The methodology, sample size and procedures to be followed to verify that import requirements have been met, should be described in this section. They should take into account the nature of the commodity, target pests, and available facilities.

9. Point of Entry

If entry into the importing country is limited to specific points of entry, whether or biological or operational reasons, these should be listed.

10. Documentation, Labeling and Marking

If any specific documentation, labeling or marking is required for phytosanitary purposes, the requirements must be specified in the Workplan. If a Phytosanitary Certificate is required,

then the Workplan must specify that the issuance must comply with ISPM No.12, *Guidelines for Phytosanitary Certificates*. Examples of additional documents such as treatment certificates and inspection reports should be attached to the Workplan as appendices if they are necessary.

If an Additional Declaration is necessary, the exact wording must be specified in the Workplan.

11. Non-compliance and Resulting Actions

11.1 Examples of non-compliance

There are many types of non-compliance including: detection of quarantine pests, presence of regulated non-quarantine pests above specified tolerances, misapplication of required phytosanitary measures, inadequate or missing documentation, and failure to comply with any specific components of the Workplan. These, and any other specific examples of non-compliance, should be described in this section of the Workplan.

11.2 Resulting Actions

The Workplan must specify actions to be taken for non-compliance with the Phytosanitary requirements contained in the Workplan. The Workplan may include actions to be taken for other categories of non-compliance. Actions should be consisting with the seriousness of the non-compliance.

11.3 Notification requirements

The Workplan should also indicate procedures for notification of non-compliance and resulting actions. Timelines for notification may be specified. During drafting of this section of Workplans, participants should make reference to ISPM No. 13, *Guidelines for the notification of non-compliance and emergency action*.

11.4 Suspension and reinstatement

Certain significant occurrences of non-compliance may present risks of such a nature that suspension of the Workplan may be necessary. However, suspension should be seen as a last resort. The procedures elaborated for unexpected situations under section 14 of these guidelines may allow causes of non-compliance to be addressed without recourse to suspension of the Workplan. The Workplan must include requirements to be met for reinstatement of a participant who has been suspended for reasons of non-compliance, and for reinstating the Workplan if it has been necessary to suspend it.

12. Duration and Review

The Workplan may have an unlimited or fixed duration and this should be specified in this section. When periodic reviews are anticipated, these should also be specified.

13. Unexpected Situations

This section can include the procedures to follow when situations arise that were not anticipated in Section 11.1 of this standard.

14. Effective Date

This section specifies the date the Workplan becomes effective.