

This appendix was approved by the NAPPO Executive Committee on March 19 2021.
The appendix is for reference purposes only and is not a prescriptive part of RSPM 9.

**Appendix 1: Audit Checklist
for RSPM 9 - Authorization of Laboratories for Performing Phytosanitary Testing**

Laboratory Name: _____

Address: _____

Laboratory Contact: _____

Audit Date: _____

Audit team:

Applicant Laboratory Checklist

RSPM 9 CHECK POINT	RSPM SECTION	NPPO REFERENCE	MEETS RSPM 9	COMMENTS
<p>Applicant Laboratory</p> <p>Meets the requirement of this standard</p>	2.0		YES NO	
<p>Has completed the authorization process established by the NPPO and meets the NPPO general and specific legal requirements.</p>			YES NO	
<p>Agrees to promptly inform the NPPO of changes that could affect the authorization agreement (personnel, equipment, methods, facilities, ownership, subcontracting and others).</p>			YES NO	
<p>Applications</p> <p>Laboratory designates a representative who is accountable to the NPPO for the approval process and performance evaluation of authorized activities.</p>	2.1		YES NO	
<p>Laboratory designates a representative who has the legal authority to sign the authorization agreement with the NPPO.</p>			YES NO	
<p>The authorization agreement identifies confidential information.</p>			YES NO	

RSPM 9 CHECK POINT	RSPM SECTION	NPPO REFERENCE	MEETS RSPM 9	COMMENTS
The laboratory and the NPPO secure and protect confidential information.			YES NO	
Subcontracting The authorized laboratory is responsible for the subcontracted activities.	2.2		YES NO	
The authorized laboratory subcontracts to a laboratory that is accredited to an internationally recognized standard or as agreed upon between the NPPO and the laboratory, where possible.			YES NO	
Authorized laboratory documents subcontracting requirements in the agreement prior to commencing testing.			YES NO	
Authorized laboratory indicates which testing is performed by the subcontractor.			YES NO	
NPPO is notified when the authorized laboratory subcontracts at any point during the agreement.			YES NO	

RSPM 9 CHECK POINT	RSPM SECTION	NPPO REFERENCE	MEETS RSPM 9	COMMENTS
<p>Quality System</p> <p>The laboratory defines, documents, and adheres to its quality system.</p>	2.3		YES NO	
<p>The laboratory's quality system is based on a nationally or internationally recognized standard.</p>			YES NO	
<p>The laboratory's quality system meets the NPPO requirements.</p>			YES NO	
<p>The laboratory's quality system is managed to safeguard impartiality.</p>			YES NO	
<p>The laboratory monitors and documents its competency using sample checks, participation in proficiency testing program, or other mechanisms as required by the NPPO.</p>			YES NO	
<p>Authorized laboratory identifies and documents non-conformities and promptly takes action to correct them.</p>			YES NO	
<p>The laboratory uses approved methodologies when required by the NPPO.</p>			YES NO	

RSPM 9 CHECK POINT	RSPM SECTION	NPPO REFERENCE	MEETS RSPM 9	COMMENTS
The laboratory uses other documented and validated (published or internally developed) methods if the NPPO does not specify the method to be used.			YES NO	
Personnel The laboratory personnel follow the laboratory's quality system.	2.4		YES NO	
The laboratory personnel are trained and competent to perform the required phytosanitary tests.			YES NO	
The laboratory documents the qualifications and training of authorization of personnel required to perform the phytosanitary tests.			YES NO	
The laboratory monitors the competency of personnel.			YES NO	
Facilities The laboratory's facilities and environmental conditions are suitable for performing phytosanitary testing.	3.0		YES NO	
Laboratory personnel monitor, control and periodically review their facilities and environmental conditions.			YES NO	

RSPM 9 CHECK POINT	RSPM SECTION	NPPO REFERENCE	MEETS RSPM 9	COMMENTS
<p>Equipment</p> <p>The laboratory has the equipment required for the correct performance of phytosanitary testing activities as established in the agreement.</p>	4.0		YES NO	
<p>The laboratory monitors equipment performance through an established and documented preventative maintenance, calibration, and verification program.</p>			YES NO	
<p>The laboratory's equipment conforms to the laboratory's quality system.</p>			YES NO	
<p>Records</p> <p>The laboratory maintains detailed records of the phytosanitary testing activities authorized by the NPPO.</p>	5.0		YES NO	
<p>The laboratory maintains records to demonstrate that results are reviewed and approved by authorized personnel prior to reporting.</p>			YES NO	

RSPM 9 CHECK POINT	RSPM SECTION	NPPO REFERENCE	MEETS RSPM 9	COMMENTS
The laboratory provides all records for phytosanitary testing activities for which it is authorized whenever requested by the NPPO.			YES NO	
The laboratory maintains records in a way that ensures integrity and traceability of phytosanitary testing activities for the period specified by the NPPO.			YES NO	
During suspension, the laboratory can remain under the purview of the NPPO and shall be obligated to meet the agreement, if applicable.			YES NO	
During suspension or revocation, the laboratory shall not perform any phytosanitary testing activities for which they were authorized.			YES NO	

Evidence was presented in the form of copies of documents related to the authorization of the laboratory. Following is a list of these documents:

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.

NOTES / COMMENT SUMMARY