ORGANISATON NORD AMERICAINE POUR LA PROTECTION DES PLANTES
NORTH AMERICAN PLANT PROTECTION ORGANIZATION
ORGANIZACION NORTEAMERICANA DE PROTECCION A LAS PLANTAS
CANADA UNITED STATES MEXICO

NAPPO Regional Standards for Phytosanitary Measures (RSPM)

RSPM No. 23
Guidelines for Consignments in Transit

The Secretariat of the North American Plant Protection Organization
Observatory Crescent, Bldg. # 3
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Contents

Review

NAPPO Standards for Phytosanitary Measures are subject to periodic review and amendment. The next review date for this NAPPO standard is 2009. A review of any NAPPO Standard may be initiated at any time upon the request of a NAPPO member country.

Approval

This standard was approved by the North American Plant Protection Organization (NAPPO) Executive Committee on October 17, 2004, and is effective immediately.

Approved by:

_____	_____
Gary Koivisto	Richard Dunkle
Executive Committee Member	Executive Committee Member
Canada	United States

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Jorge Hernandez Baeza
Executive Committee Member
Mexico

Implementation

See the attached Implementation Plans for implementation dates in each NAPPO country.

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, to the ICGPP, and to the Administrative Heads of the Regional Plant Protection Organizations (RPPOs).

Introduction

Scope

This standard outlines a basis for determining appropriate phytosanitary procedures for regulated articles that pass through a country on their way to the country of destination. This standard does not apply to consignments that enter commerce and are subsequently re-exported, and consignments cleared inland from the point of first entry.

References

Glossary of phytosanitary terms, 2004. ISPM No. 5, FAO, Rome.
Guidelines for pest risk analysis, 1996. ISPM No. 2, FAO, Rome.
Principles of plant quarantine as related to international trade, 1995. ISPM No. 1, FAO, Rome.
Glossary of Phytosanitary Terms, 2004. RSPM Nº 5, NAPPO.

Definitions, Abbreviations and Acronyms

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 occurs at low levels and which is subject to effective surveillance, control or eradication measures (FAO)
Consignment in transit	A consignment that is not imported into a country but passes through it to another country, subject to official procedures which ensure that it remains enclosed, and is not split up, not combined with other consignments nor has its packaging changed (FAO)
NPPO	National Plant Protection Organization (FAO)
Pathway	Any means that allows the entry or spread of a pest (FAO)
Pest	Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants or plant products (FAO)
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)
Pest risk analysis	The process of evaluating biological or other scientific and economic evidence to determine whether a pest should be regulated and the strength of any phytosanitary measures to be taken against it (FAO)
Pest risk assessment (for quarantine pests)	Evaluation of the probability of the introduction and spread of a pest and of the associated potential economic (FAO)
Pest risk management (for quarantine pests)	Evaluation and selection of options to reduce the risk of introduction and spread of a pest (FAO)

Transloading	The act of moving commodities from one conveyance to another, excluding the transfer between conveyances of loaded ocean shipping containers. (NAPPO)

Outline of Requirements

This standard describes the risk elements associated with the movement of consignments in transit and the phytosanitary procedures that may be taken for appropriate mitigation of that risk.

Background

Movement of consignments in transit is controlled to prevent the introduction of regulated pests into the country of transit. Transit requirements should be sufficient to achieve a country's appropriate level of protection while minimizing the impact on trade. Transit of high risk consignments may be prohibited if the country's appropriate level of protection can not be achieved due to circumstances outside the control of the NPPO.

Transit conditions should also provide the minimum acceptable level of protection for the importing country from phytosanitary risks arising from the country of transit.

In general, transit trade patterns in the NAPPO region take two forms. The most common is for articles that originate in country A, transit through country B prior to entering country C. The other form is when articles originate in country A, transit through country B and return to country A. This type of transit occurs mainly between Canada and the US, using the east-west road and rail networks.

Requirements

1. Assessment of Risk Associated with Consignments in Transit

National Plant Protection Organizations (NPPOs) should assess the quarantine pest risk associated with the mode of transport (See Appendix 1) including the route and commodity.

The general principles, as described in ISPM No. 2, *Guidelines for Pest Risk Analysis*, may also be applied to assess the risk associated with consignments in transit. For the purpose of this standard, the primary pathway to be assessed is associated with the mode of transport (See Appendix 1). Secondary elements to be assessed may be associated with the commodity in transit and/or with individual pests.
Pathway analysis needs to be only as complex as is technically justified by the circumstances.

1.1 Risk Associated with Transit Pathway

To assess the risk associated with consignments in transit, the following factors should be considered:

- Pests associated with the commodity
- Pest conditions in the country of transit
- Proximity of transit route to:
- Hosts or alternate hosts
- Areas of low pest prevalence or pest free areas
- Dispersal mechanisms, including vectors present or likely to be introduced, which will facilitate movement from the pathway to a suitable host
- Time of year at which transit takes place
- Size of the consignment
- Frequency of transit
- Time in transit
- Conditions during transloading
- Life cycle of the pest in relation to time in transit
- Commercial procedures normally applied in transit (e.g. refrigeration, sealed packaging)
- Mode of transport
- Possibility of contamination pests associated with the commodity
- Ability to control and monitor the routing of the consignment in transit

In addition to the transit risk elements described above, conventional risk assessments may be considered.

2. Risk Management Options

The NPPO of the country of transit should establish transit requirements using one or a combination of the following pest risk management options to ensure safe transit of commodities. The level of protection established should be appropriate to the risk posed by the consignment in transit.

- Risk management measures may include:
- Document review
- Visual inspection at point of entry to verify identity of the commodity
- Regulatory controls:
  - Conveyance sealed with official seal to prevent unauthorized removal of the commodity.
  - Use of permits or phytosanitary certification
  - Labeling/signage (e.g. Shipment in Transit – Do not Open)
  - Other authorized movement (e.g. those conducted by other government agencies)
- Physical controls:
  - Refrigerated conveyance
  - Sealed conveyances to prevent pest escape or infestation of the commodity by pests in the transit country
  - Pest proof packaging
  - Prescribed transloading conditions
- Prescribed transit route(s)
- Prescribed exit and entry points

- Entry - exit controls to verify transit movement of consignment
- System to track shipments while in transit (e.g. electronic mechanisms)
- Limiting time in transit
- Documentation to accompany shipment, which may include:
  - Commodity description
  - Volume of shipment
  - Origin
  - Point of entry and exit
  - Responsible party (e.g. owner, broker, etc.) while commodity is in transit
- Transporter's contingency and emergency management plans

A combination of these options may be used in a systems approach to achieve the appropriate level of protection for the transit country.

3. Responsibilities

3.1 The NPPO in the transit country is responsible for:

- Conducting transit oriented risk assessments
- Establishing requirements for transit
- Communicating transit requirements or result of the risk assessment
- Monitoring and evaluating the effectiveness of transit provisions
- Notifying exporting country when there are non-compliances

3.2 The NPPO in the importing country is responsible for:

- Notifying the country of transit and exporting country when shipments are rejected

3.3 Importers, Exporters, Agents and Transporters are responsible for:

- Knowing the transit requirements
- Complying with transit requirements
- Conducting transit in an expedited manner.
- Notifying the NPPO in the country of transit of emergencies such as accidental commodity spills, equipment breakdown or changes in routing
- Upon request, be able to demonstrate compliance with transit provisions

4. Legal authority

The NPPO of the transit country should have legal authority to authorize or prohibit transit movement.

Appendix 1: Relative risk relationships between modes of transport

The relative risks of the various modes of transport commonly in use in the NAPPO region are presented in table 1, accompanied by a brief discussion of the risk elements.

Table 1: Relative Risks of Various Modes of Transport

Mode	Time in Transit	Ability to vary from original transit plan	Likelihood of variance from original transit plan	Proximity to areas at risk
Air	Low	Low	Low	Low
Water	Medium	Low	Low	Medium
Land (road)	High	High	Medium	High
Land (rail)	High	Low	Medium	High
Land (scheduled rail)	Medium	Low	Low	High

Discussion

The rankings are not intended to represent an absolute risk, but rather a comparative risk between modes of transport.

Air – Goods do not tend to spend excessive time awaiting air transport and are essentially removed from areas at risk during transport. There may be limited risk when goods are transferred between aircraft in the country of transit.

Water – Movement by sea is not generally considered in this standard, as sea transport does not generally operate in proximity to areas at risk. The relative risks presented are more in line with those likely in river or canal transport. The inherent risk associated with seaports was not considered in the transit discussion.

Land (road) – The ability to vary and the necessity to travel through areas of risk makes road transport the potentially highest risk of all the options.

Land (rail) – although the ability to change routes is less feasible than the situation relating to road movement, industry practices have been known to involve delays and changes of routes.

Land (scheduled rail) Rail carriers with specific scheduled service are less likely to encounter delays and change of route.