



## SPECIFICATION 65

# Authorization of entities to perform phytosanitary actions (Approved 2016, published 2016)

### Title

Authorization of entities to perform phytosanitary actions (2014-002).

### Reason for the standard

Authorization of entities other than national plant protection organizations (NPPOs) to perform specific phytosanitary actions such as inspection, testing, surveillance and treatment is becoming increasingly common in various countries throughout the world. Authorization is referred to in the IPPC (Article V.2(a) related to phytosanitary certification) as well as in several ISPMs, such as ISPM 3 (*Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms*), ISPM 7 (*Phytosanitary certification system*), ISPM 12 (*Phytosanitary certificates*), ISPM 20 (*Guidelines for a phytosanitary import regulatory system*) and ISPM 23 (*Guidelines for inspection*). However, these ISPMs do not refer specifically to authorization of entities other than NPPOs

An ISPM on the authorization of entities to perform specific phytosanitary actions on behalf of NPPOs should provide the necessary guidance to NPPOs on granting, managing, suspending or withdrawing, and reinstating such authorization. The ISPM will also foster trust among NPPOs when specific phytosanitary actions are performed by other entities, by ensuring the entity is properly authorized and appropriately overseen by the authorizing NPPO.

### Purpose

The ISPM should provide guidance to NPPOs on the authorization of entities to perform specific phytosanitary actions on their behalf; more specifically, on developing criteria for authorization, on assessing compliance with the conditions laid out in the authorization, and on granting, managing, suspending or withdrawing, and reinstating authorization.

The ISPM will also define the responsibilities of the entity to be authorized for specific phytosanitary actions.

### Scope

The ISPM should describe the essential elements required for the authorization of entities to perform specific phytosanitary actions on behalf of NPPOs.

The ISPM covers government and private entities, including individuals, facilities, laboratories, businesses and organizations.

The ISPM does not cover the issuance of phytosanitary certificates; these are issued by authorized public officers only (Article V.2(a) of the IPPC).

### Tasks

The expert working group (EWG) should undertake the following tasks:

- (1) Consider existing standards and guidelines for authorization, for NPPOs and for other entities, developed by NPPOs and regional plant protection organizations.
- (2) Consider the use of “authorize” and similar terms (e.g. accredit, approve, certify) in adopted ISPMs and how these relate to procedures and requirements outlined in this ISPM, and provide recommendations to the Standards Committee (SC) on this issue – proposals for new terms or modifications to existing terms in ISPM 5 (*Glossary of phytosanitary terms*) could be recommended, if relevant.
- (3) Describe the phytosanitary actions that NPPOs may decide may be performed by authorized entities and for which guidance is therefore needed.
- (4) Define “entities” (excluding NPPO personnel), consider the different categories of entities (e.g. other government entities, individuals, facilities, businesses, organizations) that could be authorized by NPPOs, and consider the specific phytosanitary actions that each category of entities could perform on behalf of NPPOs.
- (5) Determine the criteria required for the authorization of different categories of entities and prepare guidance on the requirements to be specified by NPPOs when authorizing entities to conduct specific phytosanitary actions on their behalf.
- (6) Prepare guidance on the responsibilities related to authorization of NPPOs, the entities being authorized and auditors.
- (7) Describe the criteria and processes to be implemented by NPPOs for the authorization of entities, including for granting authorization; for assessing conformity with all conditions of the authorization; and for suspending, withdrawing and reinstating authorization.
- (8) Propose guidance to ensure authorization is a transparent process.
- (9) Determine the minimum requirements for auditors involved in auditing entities (e.g. qualifications) as well as for documentation and processes related to auditing.
- (10) Describe the requirements for training and development (e.g. skills, level of competence) that would allow entities to meet the criteria for authorization.
- (11) Consider whether detailed criteria for authorization of certain phytosanitary actions (e.g. surveillance, testing, inspection) could be annexed to the standard.
- (12) Consider whether the ISPM could affect in a specific way (positively or negatively) the protection of biodiversity and the environment; if this is the case, the impact should be identified, addressed and clarified in the draft ISPM.
- (13) Consider implementation of the ISPM by contracting parties and identify potential operational and technical implementation issues, and also provide information and possible recommendations on these issues to the SC.

### Provision of resources

Funding for the meeting may be provided from sources other than the regular programme of the IPPC (FAO). As recommended by ICPM-2 (1999), whenever possible, those participating in standard setting activities voluntarily fund their travel and subsistence to attend meetings. Participants may request financial assistance, with the understanding that resources are limited and the priority for financial assistance is given to developing country participants.

### Collaborator

To be determined.

## Steward

Please refer to the *List of topics for IPPC standards* posted on the International Phytosanitary Portal (IPP) (see <https://www.ippc.int/core-activities/standards-setting/list-topics-ippc-standards>).

## Expertise

Five to seven experts with a wide knowledge of and experience in authorization of entities to perform phytosanitary actions, including the development of authorization programmes and the relating training elements, and at least one person knowledgeable in auditing compliance with authorization programmes.

## Participants

To be determined.

## References

The IPPC, relevant ISPMs and other national, regional and international standards and agreements as may be applicable to the tasks, and discussion papers submitted in relation to this work.

**ISO** (International Organization for Standardization). 2008. *Quality management systems – Requirements*. ISO 9001:2008. Geneva, Switzerland, ISO.

**ISO/IEC** (International Organization for Standardization/International Electrotechnical Commission). 2012. *Conformity assessment – Requirements for the operation of various types of bodies performing inspection*. ISO/IEC 17020:2012. Geneva, Switzerland, ISO.

**ISO/IEC** (International Organization for Standardization/International Electrotechnical Commission). 2005. *General requirements for the competence of testing and calibration laboratories*. ISO/IEC 17025:2005. Geneva, Switzerland, ISO.

**ISTA** (International Seed Testing Association). 2015. *Accreditation standard for seed testing and seed sampling*. Bassersdorf, Switzerland, ISTA.

**NAPPO** (North American Plant Protection Organization). 2009. *The authorization of laboratories for phytosanitary testing*. Regional Standard for Phytosanitary Measures (RSPM) 9. Ottawa, NAPPO.

**NAPPO** (North American Plant Protection Organization). 2014. *Guidelines for authorization of entities to perform phytosanitary services*. Regional Standard for Phytosanitary Measures (RSPM) 28. Ottawa, NAPPO.

**OECD** (Organisation for Economic Co-operation and Development). 2012. *Guidelines for the authorization of some certification activities under the OECD Seed Schemes*. Paris, OECD.

## Discussion papers

Participants and interested parties are encouraged to submit discussion papers to the IPPC Secretariat ([ippc@fao.org](mailto:ippc@fao.org)) for consideration by the expert working group.

## Publication history

*This is not an official part of the specification*  
 2014-04 CPM-9 added topic *Authorization of non-NPPO entities to perform phytosanitary actions (2014-002)*  
 2014-07 SC approved the draft specification for member consultation by e-decision (2014\_eSC\_Nov\_04)  
 2015-05 SC deferred to 2015-11

2015-11 SC deferred approval to SC e-decision for approval

2016-02 SC approved (2016\_eSC\_May\_04)

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