MAFBNZ Use Only

Flight Kitchen Monitoring Checklist

Company:

Operator: **Nominated Liason person:**

Inspector:

Date: / / **Time:**

Conveyances used to transport refuse:	**Yes**	**No**	**Comments / Objective Evidence**
Vehicles used have current approval	☐	☐	
Approved travel route is used	☐	☐	
Conveyances cleaned after each day, with approved disinfectant	☐	☐	Disinfectant:
Receptacles:			
Only approved receptacles are used. (i.e. metal or plastic)	☐	☐	
Receptacles are leak proof where necessary	☐	☐	
All empty receptacles are clean and disinfected after each use.	☐	☐	
Flight Kitchen Facility:			
Loading dock and landing are clean and free of quarantine material.	☐	☐	
Building is bird / vermin / insect -proof.	☐	☐	
Sufficient security to prevent unauthorised access to any part of the building	☐	☐	
Floor clean of excess refuse.	☐	☐	
Quarantine refuse in approved receptacles	☐	☐	
No quarantine refuse present more than 24 hours after arrival	☐	☐	
All effluent drainage points are fitted with 2mm sieves, and cleaned daily (if relevant)	☐	☐	
All 2mm sieves are incorporated into drainage systems and not visible are cleaned (if relevant).	☐	☐	

MAFBNZ Use Only

Disinfectant footpads in place at all entries / exits of the quarantine facility.	☐	☐	
Disinfectant wheel baths in place at all entries / exits of the quarantine facility.	☐	☐	
All moveable equipment for use in the quarantine area is clearly identified for use in quarantine area only	☐	☐	
All persons working within the facility are wearing appropriate protective clothing and footwear.	☐	☐	
Only approved disinfectant used in all wash down processes	☐	☐	Disinfectant:
Stocks are available for inspection.			
All effluent treated (if relevant) and discharged in accordance with approved procedure in manual	☐	☐	
Facility Operator approved by MAFBNZ	☐	☐	If No - refer issue to BSI Date: / /
Non-compliance:	☐	☐	
1.			
2.			
3.			
NCR Issued	☐	☐	NCR issued to:

Signature:.....

MAF BIOSECURITY NEW ZEALAND EXPORT PHYTOSANITARY CERTIFICATION SYSTEM

"How the System Operates"

Overview and Explanation

REVIEW	This overview is subject to periodic review.
ENDORSEMENT	This overview is hereby endorsed.
Manager Exports, MAF Biosecurity New Zealand	**(drafted by PJ)**
Date	July 2009

MAF Biosecurity New Zealand

P O Box 2526
Wellington
New Zealand

WORKSHOP AGENDA & TABLE OF CONTENTS

1 INTRODUCTION

1.1 The Aim:

This document **aims** to provide you with sound understanding of how MAF Biosecurity New Zealand (BNZ) delivers export phytosanitary certification where the majority of operational activities (inspection, verification etc.) are delivered by parties external to MAF under a systems approach that operates on the basis of formal delegation of authority.

In particular this document outlines the:

i. International Obligations: The international context and regulations for phytosanitary certification and plant trade.
ii. MAF Principles for Export Certification: The MAF policy framework for export certification.
iii. Regulatory Model: The MAF regulatory model for export certification.
iv. System Overview, Roles and Responsibilities: How the MAF BNZ export certification system operates.

1.2 Background

The MAF BNZ export phytosanitary certification system has been developed on, and utilises the principles contained within the ISO Standard 9001:2000 "Quality Management Systems – Requirements" for the application of the series of International Standards for Phytosanitary Measures (ISPMs).

The current MAF BNZ export phytosanitary certification system has evolved over the past twenty plus years utilising these "international standards" to develop a unique series of MAF BNZ operating standards. This series of MAF BNZ export phytosanitary certification system standards contain the specifications, policies, procedures, and the primary roles and responsibilities for participating parties involved in the delivery of New Zealand's export phytosanitary certification.

This export certification system operates through the delegation of authority by MAF BNZ to authorised Independent Verification Agencies (IVAs) and approved Organisations to carry out certification services and activities on behalf of MAF BNZ.

The MAF BNZ Export Certification System standard "System Overview and Requirements" provides an overview of the policies and general requirements for MAF BNZ's Plant (including forestry) Export Certification system.

MAF BNZ has developed standards and technical requirements for the delegation of authority for the provision of phytosanitary and seed export certification services and activities.

The revised series of MAF BNZ export certification standards can be found on the following MAF BNZ websites:

http://www.biosecurity.govt.nz/commercial-exports/forestry-exports/export-certification-standards
http://www.biosecurity.govt.nz/commercial-exports/plant-exports/export-certification-standards

1.3 References

The references used within this export certification system are contained in Appendix 1.

1.4 Definitions

The terms and their definitions used in this export certification system are contained in Appendix 2.

2. INTERNATIONAL DRIVERS & OBLIGATIONS

New Zealand is a contracting party to international agreements and conventions relevant to the provision of official assurances and export certification. Accordingly, our MAF BNZ export phytosanitary certification system is based on meeting our obligations under the FAO International Plant Protection Convention (IPPC). The IPPC is an international treaty designed to prevent the spread and introduction of pests of plants and plant products throughout the world. The IPPC treaty also promotes the establishment of appropriate measures to control plant pests.

Part of New Zealand's commitment to the IPPC is to provide export phytosanitary certification, to ensure that the international trading of plants and plant products does not spread unwanted plant pests, especially to countries where these pests do not already exist or are under official control. The New Zealand Government has designated MAF as the National Plant Protection Organisation (NPPO) to ensure that New Zealand is meeting the requirements of the IPPC.

The IPPC is recognised also by the World Trade Organisation (WTO) under The Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement), as the international organisation responsible for phytosanitary standard setting and harmonisation of phytosanitary measures that affect trade. Most countries that are signatories to the IPPC require phytosanitary certification from exporting countries.

The IPPC series of International Standards for Phytosanitary Measures (ISPMs) impact on and have been utilised as guidelines in the development of this export certification system.

The IPPC and SPS require that any phytosanitary measures must be:

i. Transparent;
ii. Technically justified; and
iii. Sufficient only to protect plant, animal or human life.

The phytosanitary certificate:

i. Is a government-to-government certificate of compliance and must provide specific IPPC data elements;
ii. States that the produce has been inspected prior to export and meets the importing country's phytosanitary requirements;
iii. Is issued by the Ministry of Agriculture and Forestry (MAF) as the NPPO.

MAF Biosecurity New Zealand has designed and operates an export certification system that integrates the delivery of official phytosanitary and seed varietal assurances to meet importing countries requirements in relation to arable seed.

New Zealand is a member country of the Organisation for Economic Co-operation and Development (OECD) and is a participating member of the OECD Seed Schemes. Participation in these schemes has resulted in MAF being the National Designated Authority for the administration of the Schemes Rules, and as such, the Designated Authority for the International Seed Testing Association (ISTA). The requirements of these Organisations are integrated with the New Zealand schemes seed sampling and testing processes.

This integrated system applies to seeds produced in New Zealand and allows for the verification of seed production procedures compliance with the rules and requirements of the various international Organisations concerned with the international movement and testing of seed for sowing/multiplication. The rules and requirements currently integrated within our export certification system include those of the IPPC, the Organisation for Economic Co-operation and Development (OECD), the European Union (EU), the International Seed Testing Association (ISTA) and the New Zealand Seed Quality Management Authority (SQMA) relating to plant health and varietal trueness to type certification.

Within this integrated export certification system for arable seeds, MAF is the New Zealand:

i. National Plant Protection Organisation under the IPPC;
ii. Designated control agency for the EU seeds scheme;
iii. Designated authority for the OECD seed schemes;
iv. Designated authority for ISTA; and
v. Certification authority for SQMA.

3. MAF PRINCIPLES FOR EXPORT CERTIFICATION

MAF has developed a set of principles associated with the provision of MAF official assurances that will apply to all regimes under which the Ministry provides government-to-government assurances for agricultural, horticultural, forestry and food exports. In particular, the principles apply to the devolution of verification and organisation roles and responsibilities to support the ongoing provision of credible official assurances.

These MAF principles provide the overarching frame work within which MAF export certification systems must operate for the provision of official assurances to facilitate the entry of horticultural, forestry, and food products where importing countries require official assurances as the initial means of entry. Given there is no New Zealand legislative requirement for phytosanitary certification of exported products, the over arching frame work contained in the MAF principles ensures there is consistency between certification programmes. The specific technical requirements associated with plant products requiring phytosanitary certification is determined by individual importing countries.

4. REGULATORY MODEL

There is now a broadly endorsed worldwide trend towards the introduction of process control risk and risk management as a means of producing credible official assurances. These mechanisms or systems are progressively replacing historical quality control through end-point inspection as the principal assurance process. The introduction of risk-based management systems, including Hazard Analysis Critical Control Point (HACCP) is a sound example of this. The onus for producing products that comply with specified requirements has shifted to the producer, processor, manufacturer and retailer, while the onus on government is to set the frameworks for efficient and effective official assurance regimes to verify these requirements are being met.

The NZ government's regulatory model of export certification is based on the philosophy of partnership between government and industry (Figure 1).

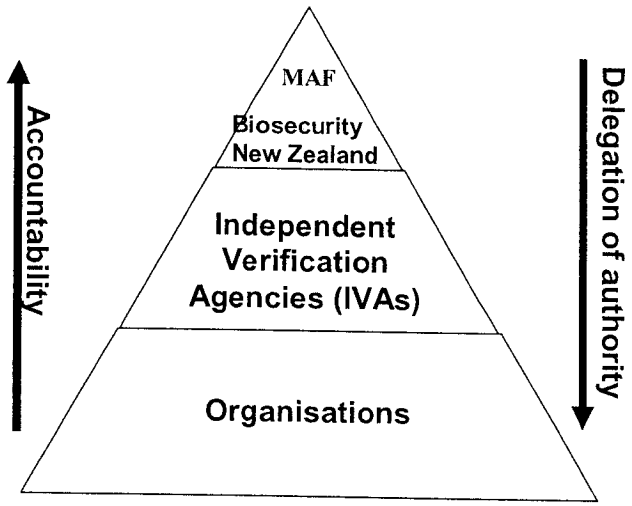


Figure 1. The regulatory model (simplified).

This model reduces the level of direct government intervention, and places the responsibility for systems management and achievement of required outcomes on industry. As such, it provides for and achieves greater flexibility and economic control for individual business and allows government to focus its resources on verification, thus reducing the call on public funds.

4.1 Options for export phytosanitary certification

Within this export certification system for plant products, organisations in the export pathway have at least the following options available to them for operation:

i. End Point Consignment Inspection.
Within this option every export consignment of plant products is subjected to phytosanitary inspection prior to export by an IVA to confirm the plant products compliance with the ICPR for the country of destination as nominated by the exporter.

ii. Approved Organisation Programme.
This option formally recognises the approved Organisation's phytosanitary inspection system and the competent staff within it as the primary means of ensuring compliance with ICPRs. Once the organisation's inspection system has gained MAF approval, it is subject to operating under an IVA regime of

system and surveillance audits to continually verify the Organisation's system output(s).

Within the latter option, Organisations are required to document their system using the HACCP framework, as a means of identifying and managing the phytosanitary risks associated with their method of operating. The HACCP framework is used to identify, control, manage and eliminate or minimise phytosanitary hazards and other risk factors to plant products as a means of gaining and ensuring compliance with ICPRs.

4.2 System overview, roles and responsibilities

Under the regulatory model operated by MAF Biosecurity New Zealand, Independent Verification Agencies (IVAs) and Organisations have specific roles. The attributes of the system and roles and responsibilities of the participants are shown in Figure 2.

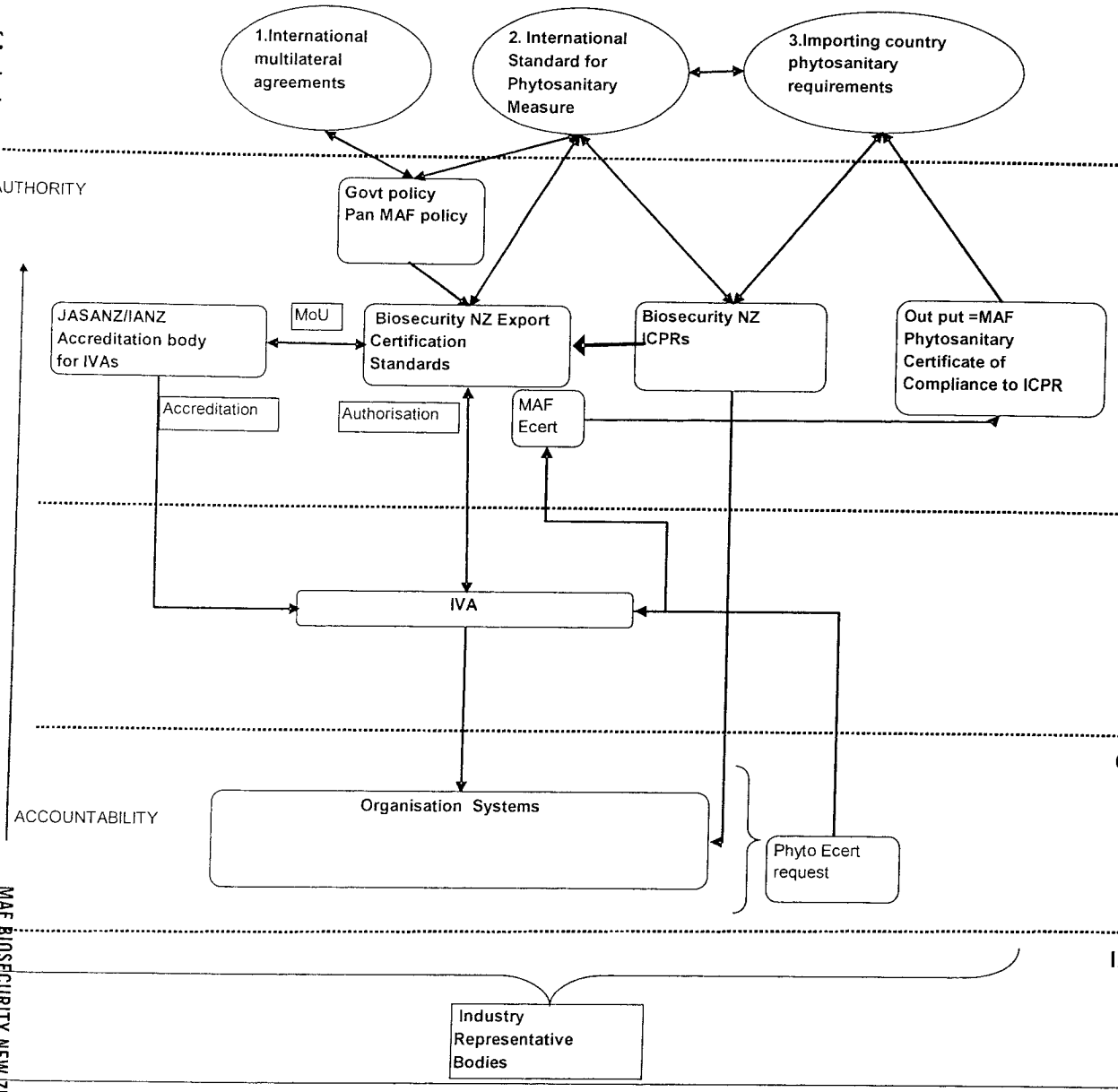
4.2.1 System overview

As already outlined, the MAF Biosecurity New Zealand export certification system operates in compliance with the requirements of international Organisations (e.g. ISPMs). Within this system MAF Biosecurity New Zealand has overall accountability for the provision of New Zealand's export phytosanitary certification.

Service delivery is provided by competent Independent Verification Agencies (IVAs) through a formalised MAF system of delegating an appropriate level of authority for the scope of phytosanitary activity undertaken by each IVA. This means IVAs themselves are operating in a competitive service delivery environment.

The responsibility for management and achievement of required outcomes in relation to plant products compliance with ICPRs lies with organisations. IVAs are engaged by MAF approved Organisations to undertake compliance audits of their organisation's systems and by exporters operating on end-point consignment inspection.

Figure 2 Roles and responsibilities within the MAF BNZ export certification system



INTERNATIONAL REGULATORS

1. Setting of International standards
2. Recognition of MAF as National Plant Protection Organisation

REGULATOR: MAF BIOSECURITY NEW ZEALAND

Standards
1. Enable sustainable export trade (market access negotiations)
2. Identifying and validating importing countries specifications
3. Standards setting
4. Integration of phytosanitary certification with other assurances

Approvals
5. Authorisation of IVAs for activities relating to certification
6. Approval of organisation's phytosanitary inspection systems
7. Issues phytosanitary certificates

Compliance
8. Audits of IVA delivery systems
9. Keeping of registers
10. Contact point for International organizations & IVA's

INDEPENDENT VERIFICATION AGENCY

1. Establish systems compliant with accreditation to ISO 17020
2. Establish and operate systems compliant with MAF-BNZ standards
3. Primary phytosanitary certification contact point for Organisations
4. Report to MAF-BNZ on delivery of phytosanitary certification

ORGANISATION SYSTEMS

1. Know relevant ICPR for plant products
2. Establish and operate systems compliant with MAF-BNZ export certification system standards and relevant ICPR
3. Requesting phytosanitary certification for plant products compliant with relevant ICPRs

INDUSTRY REPRESENTATIVE BODIES

1. Monitor operational performance of the MAF-BNZ export certification system
2. Facilitate industry issues resolution
3. Facilitate consultation on priority setting for ICPRs
4. Facilitate Technical Advisory Group

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4.2.2 Biosecurity New Zealand role

MAF Biosecurity New Zealand has the following primary roles associated with this export certification system:

i. Standard setting and validating importing countries requirements;
ii. Authorisation of IVAs and approval of Organisations;
iii. Oversight of compliance processes.
iv. Establishing MAF certification cost recovery fees.

4.2.3 Independent Verification Agencies role

The primary role of IVAs, as MAF Biosecurity New Zealand authorised agents for the delivery of export phytosanitary certification services, includes:

i. Evaluation, assessment of organisation's documented phytosanitary systems as a means of determining their fitness for purpose and recommendation to MAF Biosecurity New Zealand's for approval.
ii. Completion of verification audits of MAF approved organisation's phytosanitary systems outputs.
iii. Completion of end point consignment inspections, pest surveys, pre-clearance and export compliance programmes and supervision of treatments.
iv. Verification of phytosanitary certificate requests for compliance to ICPRs.
v. Act as the primary contact for Organisations seeking MAF Biosecurity New Zealand approval of their documented phytosanitary systems.
vi. Reporting to MAF Biosecurity New Zealand on their findings and performance within the export phytosanitary certification system.

4.2.4 Organisation role

The primary role of MAF approved Organisations is to complete specific export phytosanitary risk management activities on behalf of MAF Biosecurity New Zealand in accordance with the appropriate standards to meet ICPRs.

4.2.5 Industry role

The Plants Market Access Council (PMAC) and the Forest Products Exports Committee (FPEC) have been consulted during the design and development of this MAF Biosecurity New Zealand export phytosanitary certification system.

Both of these Organisations have the following ongoing roles associated with the implementation of this certification system:

i. Monitor operational performance of the system;
ii. Facilitate industry issues resolution;
iii. Consultation on priority setting for the development and review of ICPRs;
iv. Facilitate the establishment and co-ordination of any Technical Advisory Group needed to assess the technical elements of an organisation's phytosanitary risk management system.

4.3 Structure of and setting standards

The MAF Biosecurity New Zealand export certification system operates to a set of standards containing policies and specification for the participating parties (Figure 3).

i. The series of MAF Biosecurity New Zealand export certification standards are mandatory, outcome based and non-prescriptive and take into account the current ISPM requirements.

ii. Additional advisory and voluntary guidelines suggest general approaches. PMAC and MAF Biosecurity New Zealand have jointly developed the Guideline "Documenting a System to meet Biosecurity New Zealand Export Certification Standard: Organisation Requirements".
iii. MAF Biosecurity New Zealand procedures are internal and prescribe how the system will be administered.
iv. Several special compliance programmes have been developed jointly between MAF Biosecurity New Zealand and industry sectors to meet specific importing country's phytosanitary requirements for some commodities.
v. Registers of MAF authorised IVAs, approved organisations and competent phytosanitary personnel are maintained.

The series of MAF Biosecurity New Zealand certification standards can be found on the Biosecurity New Zealand websites:

http://www.biosecurity.govt.nz/commercial-exports/forestry-exports/export-certification-standards

http://www.biosecurity.govt.nz/commercial-exports/plant-exports/export-certification-standards

http://www.biosecurity.govt.nz/commercial-transport-and-border-management/facilities/treatment-and-treatment-providers

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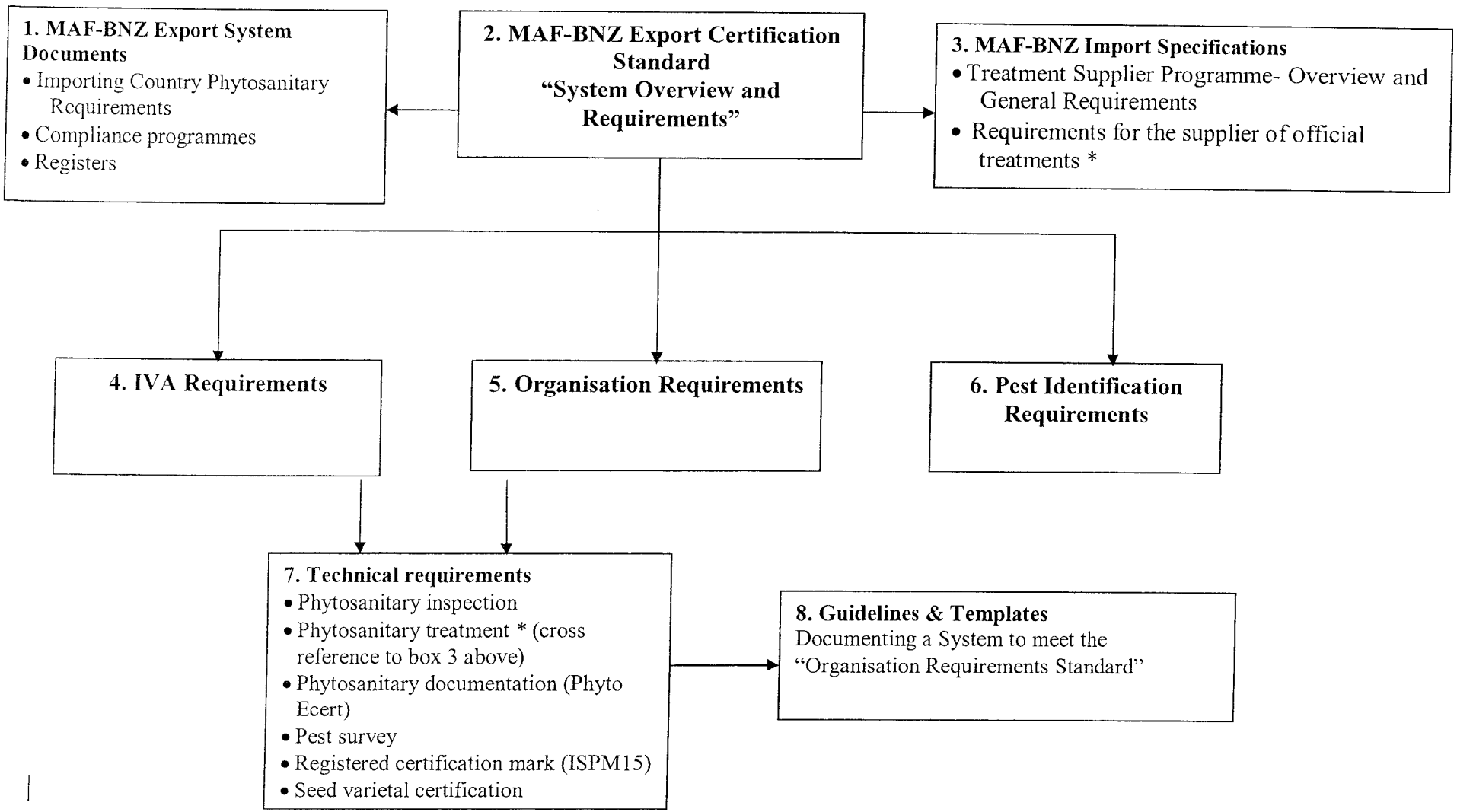
Figure 3. MAF Biosecurity New Zealand Export Certification System of Standards



The standards outline the operational specifications within the MAF Biosecurity New Zealand export certification system for the provision of export phytosanitary certification. Independent Verification Agencies (IVAs) and Organisations operate a range of services and activities that reflect the nature of their export certification needs. To account for this range of service and activity options, a series of specifications (referred to as "Technical Requirements"), have been developed for each of these options. These "Technical Requirements" are required to be addressed as appropriate, to the scope of authorisation or approval being sought, in addition the IVA Requirements, in the case of IVAs, and Organisation Requirements in the case of organisations.

i. **Standard: System Overview and Requirements.**
This standard contains an overview of the MAF Biosecurity New Zealand system, MAF policies and general requirements. This particular document is based on this standard as a means of providing an understanding of how MAF Biosecurity New Zealand delivers export phytosanitary certification where the majority of operational activities (inspection, verification etc.) are delivered by parties external to MAF under a systems approach that operates on the basis of formal delegation of authority.

ii. **Standard: Independent Verification Agency Requirements.**
This standard contains the base phytosanitary system elements and requirements to be met by an IVA to gain authorisation to undertake import and plant export certification services on behalf of MAF. The requirements of this standard have a stronger focus on the IVA being independent, impartial and having to be ISO 17020 accredited prior to gaining MAF authorisation. In addition to meeting the requirements of this standard, an IVA seeking MAF authorisation would need to also address the other MAF technical standards as appropriate for the scope of their IVA operations.

This standard prescribes the system and technical requirements in addition to ISO/IEC 17020:2000 that must be met by an IVA to achieve and maintain authorisation by Biosecurity New Zealand for the provision of import and plant export certification services.

The process for gaining MAF authorisation is outlined in section 2.3 of the MAF standard IVA Requirements. Once an IVA gains their ISO 17020 accreditation and MAF authorisation as an IVA, in addition to the joint MAF/ISO accreditation body audits, they are subjected to at least an annual MAF audit of their participation in any export compliance programme.

iii. **Standard: Organisation Requirements.**
This standard contains the base phytosanitary system elements and requirements to be met by an organisation seeking to gain and maintain MAF approval to undertake export phytosanitary certification activities on behalf of MAF. In addition to meeting the requirements of this standard, an organisation seeking MAF approval would need to also address the other MAF technical standards as appropriate for the scope of their phytosanitary risk management operations.

For example, many packhouse organisations seek MAF approval to undertake phytosanitary inspection activities, and in doing so would have to address the requirements of this standard and those of the standard "Technical Requirements: Phytosanitary Inspection". Other organisations only seeking MAF approval to undertake the phytosanitary inspection activities associated with the survey of production areas/sites for the freedom of specific pests, would need to address the requirements of the standard "Organisation Requirements" and the standard "Technical Requirements: Pest Survey".

The process for gaining MAF approval is outlined in section 2.2 of the MAF standard Organisation Requirements. Once an organisation gains their MAF approval, they are subjected to an ongoing regime of audits to ensure their operations are being undertaken in compliance to their documented phytosanitary system and their plant product outputs comply with the nominated ICPRs.

iv. **Standard: Pest Identification Requirements.**
This standard prescribes the system and technical requirements that must be met by independent Organisations providing specialist pest identification services. This standard is based on ISO 17025 and requires the organisation to have attained higher levels of phytosanitary technical competence to fit the scope of the pest identification services being provided. To-date there are only two specialist organisations approved by MAF for this specialist phytosanitary activity, and their services are provided in a competitive service delivery environment. These specialist pest identifications must utilise internationally recognised pest identification methods.

These organisations are subject to at least an annual audit by MAF to retain their MAF approved pest identifier status.

v. **Technical Requirements: Phytosanitary Inspection.**
This standard specifies the minimum technical requirements to be met by IVAs and Organisations undertaking all phytosanitary inspection activities on behalf of MAF. IVAs and the organisations seeking MAF authorisation or approval to undertake phytosanitary inspection activities, must document their phytosanitary inspection systems to meet the requirements of the standard IVA Requirements or "Organisation Requirements" (as appropriate) and this standard "Technical Requirements: Phytosanitary Inspection.

vi. **Technical Requirements: Treatments.**
The standard contains the system elements and technical requirements to be met by organisations specialising in and seeking to gain and maintain MAF approval to undertake export phytosanitary treatments on behalf of MAF. In addition to meeting the requirements of this standard, an organisation seeking MAF approval would need to also address the specific sections of the standard "Treatment Supplier Programme- Overview and General Requirements".

Normally these organisations are specialist in the provision of treatment services and wanting to operate under an IVA audit regime rather than the process that involves the IVA supervising of each official treatment. MAF approval in this

instance only applies to treatments specified by an importing country or those specified by MAF to be applied to imported risk goods. Specialist suppliers of treatment services operate in a very commercial competitive service delivery environment, with most of their treatment methods being based on the likes of those outlined in the USDA treatment manual.

Organisations such as seed cleaning operators may become MAF approved treatment suppliers for specific treatments such as fungicides applied to export seed lots. These organisations extend the scope of their MAF approval by documenting and operating their phytosanitary systems meeting the requirements of the MAF standards "Organisational Requirements" and the relevant specifications of "Requirements for the supplier of official treatments".

vii. **Technical Requirements: Phytosanitary Documentation (Phyto Ecert).**
This standard specifies the minimum technical requirements for the administration of electronic phytosanitary certificate requests, and approval of certificate print locations.

To obtain a phytosanitary certificate in NZ, exporters must be registered to operate on the MAF Phyto Ecert system. Once registered, exporters may request a phytosanitary certificate through a MAF web site based electronic certificate production system. Once again the IVA must have already met the requirements of the MAF standard "IVA Requirements" and the organisations have met the standard "Organisation Requirements".

Only MAF authorised IVAs and MAF approved organisations are eligible to request approval of a certificate print location(s).

viii. **Technical Requirements: Pest Survey.**
This standard specifies the minimum technical requirement to be met by Organisations and IVAs seeking MAF approval to undertake survey activities for specific pests to ascertain the pest free status of an area, production site or crop.

Organisations and IVAs seeking MAF approval to undertake the phytosanitary inspection activities associated with the survey of production areas/sites for the freedom of specific pests, would need to address the requirements of the standard "Organisation Requirements" or "IVA Requirements" (as appropriate) and the standard "Technical Requirements: Pest Survey".

To-date, it is mainly IVAs who have sought MAF approval to operate under this standard and this is thought to relate to the specialist skills required for what is often seen as very limited survey activity.

ix. **Technical Requirements: Registered Certification Mark (ISPM 15).**
This standard specifies the minimum technical requirements to be met by Organisations seeking Biosecurity New Zealand approval to undertake activities associated with the application of a "MAF Registered Mark" to treated wooden packaging material as per ISPM 15.

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Once again, organisations in this service delivery area must meet the requirements of one of the primary MAF standards (i.e. IVA Requirements, or Organisation Requirements, or Requirements for the supplier of official treatments that contain the base system elements and requirements) as well as the technical requirements of this standard to become MAF approved for this scope of phytosanitary activity.

x. **Technical Requirements: Seed Varietal Certification.**
This standard specifies the minimum technical requirements to be met by IVAs and organisations seek to gain and maintain MAF approval to participate in the MAF seed varietal certification compliance programme. This compliance programme formalises the integration of phytosanitary (including treatments) and seed varietal certification specification and activities into a single integrated systems approach that achieves the dual outputs of phytosanitary and seed varietal certification. This integrated systems approach is achieved through the compliance programme acting as the seed industry sectors directory to MAF standards and technical requirements that must be met and maintained to become MAF approved for this scope of activity. The compliance programme utilises the requirements already specified in the above series of standards and adds to these, the unique technical specifications of the OECD Seed Schemes and ISTA to complete the seed varietal certification processes.

4.3.1 Identification of importing country phytosanitary requirements (ICPR)

As there are no New Zealand legislative requirements for the phytosanitary certification of exported plant products, the technical phytosanitary requirements are determined by the importing country for plant produce being imported into their country. In this respect, ICPRs are MAF Biosecurity New Zealand's summary of the importing country's legal requirements, and thus form the primary basis upon which export phytosanitary certification is provided.

Where an importing country operates on the basis of issuing import permits to their importers, the import permit conditions take precedence over any technical conditions contained in the Biosecurity New Zealand ICPR for that country.

Where an importing country's phytosanitary requirements are unknown, or where the country does not specify any quarantine pests, the optional clause (i.e. "They are deemed to be free from other pests") will apply.

Under these circumstances the following generic "default" Maximum Pest Limits are used for the provision of a MAF phytosanitary certificate:

i. For all plant products excluding logs
≤5.0% plant products infested by plant pests and
≤25g soil per inspection sample.

ii. For logs
≤5.0% plant products infested by plant pests and
Soil clumps ≤5 mm in thickness and ≤25 mm in diameter.

The review and development of ICPRs by MAF Biosecurity New Zealand are undertaken in a manner that is science and risk based, with information made available to IVAs and Organisations in a format that allows them to be used as a meaningful decision-making tool.

MAF Biosecurity New Zealand will translate, summarise, review and maintain customised importing countries phytosanitary requirements that are product per country specific (where information is available).

Overarching operating principles for ICPR development and review are:

1. ICPR development and review enables MAF Biosecurity New Zealand to provide an accurate official phytosanitary assurance, facilitating access to offshore markets for New Zealand exporters of horticultural, arable and forestry commodities.

2. Activities associated with ICPR review and development, with the exception of final document verification, may be outsourced by MAF Biosecurity New Zealand.

3. All costs incurred by MAF Biosecurity New Zealand in the development and review of ICPRs will be recovered in accordance with treasury guidelines.

4. Development and review of ICPRs will be undertaken in accordance with the policies and principles identified above and will incorporate feedback from industry Organisations.

The ICPRs can be found on the MAF Biosecurity New Zealand websites:

http://www.biosecurity.govt.nz/commercial-exports/forestry-exports/export-requirements

http://www.maf.govt.nz/biosecurity/exports/plants/certification/index

4.3.2 Provision of additional declarations

Frequently an importing country will request specific additional information pertinent to the phytosanitary status of an export consignment's freedom from specific pests. Where an importing country specifies they require "surveyed, inspected or tested and found free" from any pests, the area of production, or the crop or consignment must be surveyed, inspected or tested as appropriate prior to the specific additional declaration being provided.

Additional declarations are only provided where:

i. There is a validated record of the importing country requesting the information to be stated on a MAF phytosanitary certificate.
ii. There is evidence that justifies the provision of the additional information being requested by the importing country.

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4.3.2.1 Country freedom additional declarations

Country freedom additional declarations may be given only where New Zealand records indicate that the specific pests as specified by the importing country are not recorded within New Zealand.

4.3.2.2 Consignment freedom from specific pest(s) additional declarations

Consignment freedom additional declarations from specific pests may be provided on the following basis:

i. Where New Zealand pest detection records indicate that the specific pest has not been recorded in New Zealand; or
ii. Where the pest is known to be present in New Zealand and the crop is a known host, the crop has been surveyed/inspected/tested as appropriate and found free.

4.3.2.3 Deviations from additional declaration statements

Deviations from any given Additional Declaration Statement will only be considered where MAF Biosecurity New Zealand obtains from the importing country's phytosanitary control authority, confirmation their wording for a specific Additional Declaration may be modified.

4.3.2.4 Duration of area freedom additional declarations

An area freedom clearance following an official survey/test lasts for as long as:

i. Officially recognised controls ensure there is no reasonable chance of infestation/re-infestation with the pests of concern; or
ii. For a maximum of one growing season where there are no officially recognised controls that would prevent the introduction of the pest of concern.

The technical justification for this growing season clearance only applies where, following the clearance having been gained, no material is brought onto the production site that could introduce the pest(s) of concern.

If however a production site is cleared and the organisation introduces plants (for planting) and/or soil (on machinery etc.) of unknown health status, the production site will lose its clearance status and another survey/test will be required to regain the pest free status.

4.3.3 Principles of audit frequency

A key process in the export certification system is the use of audits to ensure the system is working effectively and achieving the required outcomes. The following principles underpin the MAF export phytosanitary certification system.

1. Audit frequency should be commensurate with risk:
   i. Risk associated with the product type;
   ii. Risk associated with the system performance;
   iii. Risk mitigation through random versus notified audits;
   iv. Risk associated with the duration of the export season.

2. Audit frequency is designed to encourage Organisations through recognizing systems that deliver a product compliant with importing countries' requirements.

3. An increased number of audits within a specified time period is a consequence of the detection of a critical non-compliance (i.e. loss of confidence that the organisations system is operating effectively).

4. Suspension of an IVA's authorisation or an Organisation's approval occurs when confidence in their system is lost by MAF Biosecurity New Zealand.

5. The purpose of increasing the number of audits within a specified time period is to provide the organisation with the time and opportunity to correct their system whilst maintaining sufficient scrutiny through the increased number of audits to confirm that:
   i. Product being exported is compliant with the importing countries' requirements; and
   ii. The problem has been rectified.

4.4 Requests for post export official assurances

MAF Biosecurity New Zealand will not provide en route or post-arrival inspection and certification of plant products that has not undergone inspection in New Zealand.

Where MAF Biosecurity New Zealand is informed of plant products having been exported to a destination for which inspection for compliance with phytosanitary requirements has not been undertaken for that destination, the importing control authorities will be informed. Further, MAF Biosecurity New Zealand will make it clear to the importing control authorities that MAF Biosecurity New Zealand is unable to give any form of assurance as to the pest status of the consignment in question. Any decision as to what action (e.g. re-ship, inspect/accept, destroy) should be undertaken on arrival is solely that of the importing country.

4.5 MAF Biosecurity New Zealand cost recovery fees

MAF Biosecurity New Zealand Exports is required to recover the cost of all work associated with the provision of export certification.

The schedule of fees is available from:
http://www.biosecurity.govt.nz/commercial-exports/plant-exports/fees

APPENDIX 1: REFERENCES

MAF Biosecurity New Zealand standards refer to the following documents:

1. International Plant Protection Convention (IPPC) 1999 and its associated ISPMs
2. Alinorm 95/13 (Annex to Appendix iii) - Guidelines for the Application of the Hazard Analysis Critical Control Point (HACCP) System, Report of the 27th Session of Codex Committee on Food Hygiene (CCFH), October 1994.
3. International Seed testing Association (ISTA) Rules Seed Science and Technology, International Rules for Seed Testing, 1999 volume 27, Supplement, Rules, 1999.
4. Organisation for Economic Co-operation and Development (OECD) Seed Schemes (and all subsequent amendments) for the Varietal Certification of Seed Moving in International Trade:
   Cereal Seed (1988);
   Crucifer Seed and Other Oil or Fibre Species Seed;
   Grass and Legume Seed;
   Herbage and Oil Seed (1973);
   Maize and Sorghum Seed (1977);
   Sugar Beet and Fodder Beet Seed (1970).
5. Biosecurity Act 1993 (as amended by the Biosecurity Amendment Act (1997)
6. Hazardous Substances and New Organisms Act 1997
7. Health Act 1956
8. AS/NZS ISO 8402:1994 - Quality management and quality assurance - Vocabulary.
9. ISO Guide 2:1996 Standardisation and related activities – General vocabulary
10. ISO Guide 28 - General rules for a model third-party Certification system for products.
11. ISO Guide 65: General requirements for operating product certification systems
12. ISO Guide 62 (NZS 3842): 1998 - General requirements for bodies operating assessment and certification/registration of quality systems.
13. AS/NZS ISO 9000: 2000: Quality management systems – Fundamentals and vocabulary
14. AS/NZS ISO 9001:2000; Quality management systems - requirements.
15. AS/NZS ISO/IEC 17020: 2000; General criteria for the operation of various types of bodies performing inspection.
16. AS/NZS ISO/IEC 17025: 2005; General Requirements for the Competence of Testing and Calibration Laboratories.
17. ISO 19011:2003; Guidelines for quality and/or environmental management systems auditing
18. AS/NZS ISO 17011:2004: Conformity assessment – General requirements for accreditation bodies accrediting of conformity assessment bodies (corrected version February 2005)

19. MAF Biosecurity New Zealand Export Certification Standard: IVA Requirements. Requirements to be met by an Independent Verification Agency (IVA) to gain authorisation to undertake import and plant export certification services.

20. MAF Biosecurity New Zealand Export Certification Standard: Requirements for the Authorisation of Independent Plant Pest Identifiers.

21. MAF Biosecurity New Zealand Export Certification Standard: Organisation Requirements. Requirements to be met by Organisation to gain approval to undertake export certification activities.

22. MAF Biosecurity New Zealand Export Certification Standard: Technical Requirements" Phytosanitary Documentation Services (Phyto Ecert).

23. MAF Biosecurity New Zealand Export Certification Standard: Technical Requirements: Phytosanitary Inspection.

24. MAF Biosecurity New Zealand Export Certification Standard: Technical Requirements: Preparation of a Pest List.

25. MAF Biosecurity New Zealand Export Certification Standard: Technical Requirements: Pest Surveys.

26. MAF Biosecurity New Zealand Export Certification Standard: Technical Requirements: Registered Certification Mark (ISPM 15).

27. MAF Biosecurity New Zealand Export Certification System Standard: Technical Requirements: Seed Certification.

28. MAF Biosecurity New Zealand Standard: Requirements for the Supplier of Official Treatments.

29. MAF Biosecurity New Zealand Treatment Supplier Programme: Overview and General Requirements.

30. For seed fumigation: Bowley and Bell, C.H. 1981. "The toxicity of twelve fumigants to three species of mites infesting grain. Journal of Stored Products Research 17(2): 83-87".

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APPENDIX 2 DEFINITIONS

These definitions apply to the export phytosanitary certification system. They have been sourced, where appropriate, from IPPC.

1. **Accredited**
   Having been formally recognised by an international accreditation body as complying with the requirements of an international standard.

2. **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.

3. **Approved**
   An Organisation that has been formally recognised by Biosecurity New Zealand as competent to receive delegated authority to act on his/her behalf to provide specific phytosanitary activities in accordance with the requirements specified in the relevant Biosecurity New Zealand standard(s).

   Note: Scope of approval only includes specific phytosanitary activities for which the agency has sought authority to undertake on behalf of Biosecurity New Zealand within the scope of this certification system.

4. **Audit**
   A systematic and independent process for obtaining information and examining it objectively to determine the degree of conformity with prescribed criteria.

   4a A **System Audit** is an evaluation of the Organisation's entire system for compliance with the certification system's requirements.

   4b A **Surveillance Audit** is an evaluation of specific parts of the Organisation's system, to confirm that the outputs of their system meet(s) required specifications.

5. **Auditor**
   A person with the competence to carry out an audit to determine the degree of conformity with prescribed criteria.

6. **Authorised**
   An Independent Verification Agency that has been formally recognised by Biosecurity New Zealand as competent to receive delegated authority to act on his/her behalf to provide a specific phytosanitary service(s) in accordance with the requirements specified in the relevant Biosecurity New Zealand standard(s).

   Note: Scope of authorisation only includes specific phytosanitary activities for which the agency has sought authority to undertake on behalf of Biosecurity New Zealand within the scope of this certification system.

7. **Biosecurity New Zealand**
   Biosecurity New Zealand is the body within MAF that is responsible for biosecurity functions, providing official assurances to control authorities in importing countries through export certification.

8. **Certificate**
   An official document which attests to the status of any consignment affected by regulations.

9. **Certification**
   All those activities leading to, but not including, the issuance of Certificates.

10. **Competence**
    Demonstrated ability to apply knowledge and skills.

11. **Commodity Pest list**
    A list of all pests recorded in New Zealand associated with the commodity to be exported.

12. **Consignment**
    A quantity of plants, plant products or other articles being moved from one country to another and covered, when required, by a single Certificate (a consignment may be composed of one or more lots).

13. **Contract of "Delegated Authority"**
    A document forming part of this certification system's standards which sets out the legally binding arrangement entered into by Biosecurity New Zealand and an IVA and/or an organisation to formalise the delegation of authority to act on Biosecurity New Zealand's behalf to provide a specific phytosanitary service(s) in accordance with the requirements specified in the relevant Biosecurity New Zealand standard(s).

14. **Control Point**
    A point or step in a phytosanitary risk management system (e.g. harvest, grading, packing, storage, handling, transport or preparation of export documents) where specific procedures can be applied to achieve a defined effect and can be measured, monitored, controlled and corrected.

    Note: The abbreviation CCP is used when referencing a critical control point.

15. **Corrective Action Request (CAR)**
    Action request raised by an auditor requesting corrective action for non-compliance findings with prescribed standards.

16. **Critical Limit**
    A value that separates acceptability from unacceptability.

17. **Declaration of Conformity**
    Statement by an organisation that plant product conforms to the phytosanitary requirements of an importing country.

18. Devitalisation
A procedure rendering plant products incapable of germination, growth or further reproduction.

19. Director
The Director, Pre-clearance, Biosecurity New Zealand, of the New Zealand Ministry of Agriculture and Forestry (MAF) and is appointed as a Chief Technical Officer under section 101 of the Biosecurity Act 1993 or delegate.

20. End Point Consignment Inspection
An officially recognised phytosanitary inspection process for plant product at a final point of storage prior to loading for export.

21. Equivalence
Phytosanitary and/or genetic purity measures which are not identical but have the same effect.

22. Event Reports
A written report submitted to Biosecurity New Zealand by an Independent Verification Agency in response to specific situations defined in the standard being followed.

23. Hazard
The potential to cause harm. Types of hazards can be divided into biological, chemical or physical.

24. HACCP
Abbreviation for Hazard Analysis and Critical Control Point, which is a system that identifies, evaluates and controls hazard(s) that are significant, and the preventative measures for their control.

25. Homogenous Lot
A defined volume of plant product subject to the same pest management regime that has been produced within a pre-determined production area, where the defective units within the lot occur independently of each other and the fraction of defective plant product is constant throughout the lot.

26. ICPR
Importing Countries Phytosanitary Requirements, available at:
http;//www.biosecurity.govt.nz/commercial-exports/plant-exports/icpr-register

27. Independent
Not having a commercial interest in the operation and not depending on another body for its validity.

28. Independent Verification Agency (IVA)
An organisation accredited as meeting ISO/IEC 17020:2000 and its independence criteria type A, and Biosecurity New Zealand supplementary technical requirements, and authorised by Biosecurity New Zealand to carry out services associated with export certification.

29. Inspection
An official visual examination of plant products or other regulated articles to determine compliance with regulations. For phytosanitary regulations inspection is to determine if pests are present.

30. Inspector
A person authorised by Biosecurity New Zealand to carry out inspection activities.

31. Interception
The detection of a pest during inspection or testing of an imported consignment that may result in the refusal or controlled entry of the consignment because of failure to comply with phytosanitary regulations.

32. IPPC
Abbreviation for International Plant Protection Convention.

33. ISPM
Abbreviation for International Standard for Phytosanitary Measures.

34. Location
An operational site, within a Biosecurity New Zealand approved Organisation's system, where phytosanitary activities are undertaken, or reference documents, or records, or fixed equipment are kept, or if the phytosanitary activity involves a mobile facility then that mobile facility.

35. MAF
Abbreviation for NZ Ministry of Agriculture and Forestry.

36. Mark
An official stamp or brand, internationally recognised, applied to a regulated article to attest to its phytosanitary status.

37. MPL
Abbreviation for Maximum Pest Limit, which is the maximum percentage of plants or plant products infested with pests acceptable within each lot inspected, as determined by the importing country or the current information available to Biosecurity New Zealand at the time.

38. National Plant Protection Organisation (NPPO)
Official service established by the government to discharge the functions specified by the International Plant Protection Convention (IPPC). In New Zealand MAF is the NPPO.

39. Non-compliance
Failure to comply with requirements specified in the relevant standards, or specifications.

40. Official
Established, authorised or performed by Biosecurity New Zealand.

41. Official treatments

Official treatments are those required by Biosecurity New Zealand for import risk goods and for export goods to comply with Import Countries Phytosanitary Requirements (ICPRs).

42. Organisation

The legal entity, be it an individual, partnership, company or other form of legal entity, responsible for the performance of the phytosanitary risk management system approved by Biosecurity New Zealand.

43. Organisation's System

The organisational structure, responsibilities, operational procedures, processes and resources for implementing activities associated with phytosanitary inspections, audits, or the preparation of export documents for the provision of Biosecurity New Zealand export phytosanitary certification.

44. Organism

As defined by the Biosecurity Act (1993) (as amended by the Biosecurity Amendment Act (1997) and for the purposes of this standard:

a) Does not include a human being or a genetic structure derived from a human being;
b) Includes a micro-organism;
c) Subject to paragraph (a) of this definition, includes a genetic structure that is capable of replicating itself (whether that structure comprises all or only part of an entity, and whether it comprises all or only part of the total genetic structure of an entity);
d) Includes an entity (other than a human being) declared by the Governor-General by Order in Council to be an Organism for the purposes of this Act;
e) Includes a reproductive cell or developmental stage of an Organism;
f) Includes any particle that is a prion.

45. Output

This is defined as the result of the certification system activity, which may be a plant product, request for certification or record of activity, linked to the plant product.

46. Pathway

Any means that allows the entry or spread of a pest.

47. Pest

Any species, strain or biotype of plant, animal, or pathogenic agent, injurious to plants, plant products or animals.

48. Pest Categorisation

The process for determining whether a pest has, or has not, the characteristics of a quarantine pest or those of a regulated non-quarantine pest.

49. 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.

50. Pest Free Place of Production
Place of production in which a specific pest does not occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period.

51. Pest Free Production Site
A defined portion of a place of production in which a specific pest does not occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being officially maintained for a defined period and that is managed as a separate unit in the same way as a pest free place of production.

52. Pest Record
A document providing information concerning the presence or absence of a specific pest at a particular location at a certain time, within an area (usually a country) under described circumstances.

53. Phytosanitary Certificate
Certificate patterned after the model certificates of the International Plant Protection Convention (IPPC).

54. Phytosanitary Certification
Use of phytosanitary procedures leading to the issue of a phytosanitary certificate.

55. Phytosanitary Procedure or Activity
Any officially prescribed method for implementing phytosanitary regulations including the performance of inspections, tests, surveillance or treatments in connection with regulated pests.

56. Plant Products
Any material of plant origin.

57. Plant Pest Identifier
A person with specialist knowledge undertaking pest identification in one or more of the scientific disciplines of entomology, mycology, bacteriology, nematology, virology.

58. Pre-clearance
Phytosanitary certification and/or clearance in the country of origin, performed by or under the regular supervision of the NPPO of the country of destination.

59. Procedure
A document that specifies the purpose and scope of an activity; what shall be done and by whom; when, where, and how it shall be done; what materials, equipment, and documentation shall be used; and how it shall be controlled and recorded.

60. Quality Management System
A set of interrelated or interacting elements (procedures and/or processes) within an organisation to establish policy and objectives and to achieve those objectives, used to direct and control an organisation with regard to fulfilling requirements.

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61. 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 (is) being officially controlled.

62. Recognised Individual

An individual within a Biosecurity New Zealand authorised IVA or approved organisation who is recognised by Biosecurity New Zealand as competent, by way of their staff competency assessment process, to act on Biosecurity New Zealand's behalf to provide export phytosanitary services and activities in accordance with the requirements specified in the relevant Biosecurity New Zealand standards.

63. Registration Fee

A fee, payable by the appropriate organisation, that contributes to the Biosecurity New Zealand management costs associated with export certification.

64. Regulated Article

Any plant, plant product, storage place, packaging, conveyance, container, soil and any other organism, object or material capable of harbouring or spreading pests, deemed to require phytosanitary measures, particularly where international transportation is involved.

65. Regulated Pest

A quarantine pest or a regulated non-quarantine pest.

66. Risk Goods

Means any organism, organic material, or other thing, or substance, that (by reason of its nature, origin, or other relevant factors) it is reasonable to suspect constitutes, harbours or contains an organism that may cause unwanted harm to natural and physical resources or human health in New Zealand; or interfere with the diagnosis, management, or treatment, in New Zealand of Pests or unwanted organisms.

67. Sample

One or more units selected from a population of units, or a portion of material selected from a larger quantity of material.

68. Seed Categories

For the purposes of seed variety trueness to type certification in New Zealand, the following seed certification categories apply:

i. "Breeders seed"
Seed produced from nucleus material grown by the plant breeder.
Note: within the OECD Seed Schemes this category of seed is known as "Pre-basic seed" (i.e. any generation of seed between parent material and 'Basic' seed under the responsibility of the breeder).

ii. "Basic seed"
Seed produced from plants sown with Breeder's seed (i.e. the seed is produced by selected growers under the supervision of the breeder or their agent).

iii. "Certified Seed 1st Generation"
Seed derived from areas sown with Basic seed.

iv. "Certified Seed 2nd Generation"
Seed derived from areas sown with Certified Seed 1st Generation.

v. "Commercial (uncertified) Seed"
Seed line that has either failed the New Zealand seed certification scheme, or has not been part of this certification scheme.

69. Specification
Part of a document that prescribes a specific requirement with which the product or service has to conform.

70. Standard
Document established by consensus and approved by a recognised body, that provides, for a common and repeated use, rules, guidelines or characteristics for activities or their results aimed at the achievement of the optimum degree of order in a given context.

71. Supervision
Oversee, through direct observation, pre-determined activities being undertaken by another party, to confirm compliance with specifications and/or procedures.

72. Supplier
Means the party (either an authorised IVA or an approved organisation) responsible for the performance of specific export certification activities on behalf of Biosecurity New Zealand.

73. Surveillance
An official process that collects and records data on pest occurrence or absence by survey, monitoring or other procedures.

74. Survey
An official procedure conducted over a defined period of time to determine the characteristics of a pest population or to determine which species occur in an area.

75. Systems Approach(es)
The integration of different pest management measures, at least two of which act independently, and which cumulatively achieve the appropriate level of phytosanitary protection.

76. Test
Official examination, other than visual, to determine if pests are present or to identify pests.

77. Treatment
Officially authorised procedure, for the killing or removal or rendering pests infertile.

Note: For the purposes of this certification system, treatment also includes rendering the pests and/or plant products non-viable or devitalising a consignment of plant products.

78. Treatment Supplier (Refer organisation)

79. Treatment Technician

A person familiar with the treatment methods and procedures, the objectives of the treatment and the audit of the treatment results but operate under effective oversight by the treatment supplier.

80. Treatment Certificate

A uniquely numbered certificate issued by a treatment supplier verifying that an approved treatment has been completed in accordance with this Standard and includes a description of the treatment.

81. Unit

The smallest discrete portion in a lot, which will be withdrawn to form the whole or part of a sample.

Units are identified as follows:

i. Fresh fruits and vegetables: Each whole fruit (e.g. an apple, a blueberry), vegetable (e.g. an asparagus spear, onion, potato tuber) or natural bunch (e.g. grapes, red currants), will form a unit. Individual fresh fruit or vegetables must not be cut or broken to produce units.

ii. Flowers and foliage: A stem is regarded as a unit except in the case of orchids where a bloom is the unit.

iii. Nursery stock: The individual plant/cutting is the unit. The individual plants must not be cut to produce units.

iv. Grain, seeds and grain products: The individual unit is that which is created with a sampling device.

v. Sphagnum moss, bark chips and inert material: The individual unit is that which is created when obtained with a sampling device.

82. Verification

Confirmation by examination and provision of objective evidence that specified requirements have been fulfilled.

APPENDIX 3. COMPETENCY ASSESSMENT

Explanation of how "Competency Assessment of Personnel" is undertaken prior to the receipt of MAF delegated authority to undertake export phytosanitary certification activities.

Objective
Confirm personnel are competent to undertake phytosanitary inspections for the detection of phytosanitary pests (e.g. Fire blight, European Canker).

Scope
Inspection personnel within MAF approved organisations to undertake phytosanitary inspection activities.

Responsibility
Approved Independent Verification Agency "competency assessors – Auditors".

Timing
Prior to phytosanitary inspection activities being undertaken without the direct "one on one" supervision of a MAF approved phytosanitary inspector.

Annual assessment of existing competent personnel.

References
Biosecurity New Zealand Export Certification standards:

- IVA Requirements; Section 3.
- Pest Survey; Section 2.3
- Organisation Requirements; Section 3.5.
- Technical Requirements – Phytosanitary Inspection; Section 2.9.
- Treatment Supplier Programme – Requirements for the supplier of official treatments; Section 2.5.

Introduction & Background:

The competency assessment approach applied within the MAF-BNZ Export Certification System for the delegation of authority to external organisations is based on the following primary activities having to be undertaken by the organisation seeking formal MAF recognition. This example is written as though the personnel were being assessed for their competency to undertake fire blight inspections.

1. Identify the scope of the specific phytosanitary task that is required to be undertaken and the outcome to be achieved – e.g. inspection of registered production sites for the presence/freedom of fire blight symptoms.
2. Identify within this task area, and record, the various activities or actions required to be undertaken to achieve the identified phytosanitary outcome – in this instance utilise SOP AO4 to identify the activities required to be undertaken.
3. Within each of the actions/activities of SOP AO4, identify the specific technical and administrative skills a person needs to have to complete these phytosanitary actions. For example, utilise the fire blight symptoms guidelines on pages 72 & 73 of SOP AO4 as descriptive and visual technical skill assessment material.

4. Record these skill requirements and determine the level of skill, or competence, required to undertake these activities to achieve the required outcome. For example, in this case concerning fire blight, the skill requirement level would be "for the inspector to detect all visible fire blight symptoms, as per those contained on pages 72 & 73 of SOP AO4, expressed in the sample trees being examined under the observation of an existing competent fire blight inspector &/or plant pathologist.
5. Observe the nominated person undertaking the identified and documented activities outlined in SOP AO4, assess their ability/competence to detect fire blight symptoms and complete the activities as documented, and determine if the correct phytosanitary inspection outcome has been achieved.
6. If the nominee being assessed:
    - undertook the fire blight detection/inspection activities as per the documented procedures & their actions resulted in the targeted phytosanitary inspection outcome being achieved (i.e. the known or planted fire blight symptoms being detected), recommend this person be approved as a competent phytosanitary fire blight inspector (i.e. the scope of phytosanitary inspection competency in this example would be "fire blight inspection"), or
    - failed to undertake the activities as per the documented procedures (i.e. failed to detect the known or planted fire blight symptoms), **decline** their application for approval/recognition as a competent phytosanitary inspector for fire blight.

DRAFT

The following provides a more focused assessment procedure to be followed by competency assessors:

Actions

(a.) Assessment and approval of new inspection personnel:

- On receipt of a request for staff competency assessment from an organisation involved in undertaking phytosanitary activities on behalf of MAF:
    - Request records from the organisation to confirm training and eyesight requirements have been met.
    - Undertake a staff competency assessment in an actual operating environment to validate through visual observations that the individual demonstrates ability to:
        1. Follow the appropriate MAF approved standard operating inspection procedure.
        2. Detect the nominated disease symptoms being inspected for.
        3. Make the appropriate decisions on the significance of their inspection findings.
- On completion of the staff competency assessment, make a record of the competency findings (e.g. refer Form: IVA8).
- Forward copy of the competency assessment results to the appropriate organisation requesting the assessment.

- The organisation is advised that personnel who have not demonstrated competency may not participate in MAF phytosanitary inspection activities except in a training capacity under 100% direct supervision of an existing competent inspector.
- A copy of all competency assessment records is retained in the file associated with the appropriate organisation.

(b.) Re-assessment of existing competent survey personnel:

- An annual re-assessment of each previously approved phytosanitary inspector is undertaken in "real time" i.e. when export inspection activities are being undertaken.
- Records of these annual re-assessments findings are maintained (e.g. refer Form: IVA8).
- Non-compliance findings from the re-assessment are immediately reported to the appropriate organisation.
  - Existing MAF recognition is immediately suspended and the re-assessed but non-competent inspection personnel removed from undertaking export inspection activities.
  - All plant material affected by the scope of the non-compliant persons inspection activities is identified and re-inspected by a competent inspector to ensure compliance to export specifications.
  - Details of the re-assessment findings are recorded and forwarded to MAF Exports.
- A copy of the re-assessment findings record is maintained on the appropriate organisation's operating file.

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Draft Form: Staff Competency Assessment of Survey Personnel.

Person being assessed:	Organisation:

Competency:	Comment:	Date:
MAF BNZ approved training course completed.	(Compulsory for new survey personnel):	
Current eye sight test: (issued within 5 years)	1. Sat and passed Ishihara colour test 2. Met standard of acuity equal or better than N5 at 40cm with one or both eyes. 3. With or Without spectacles:	
Has no commercial interest in commercial Pipfruit operations.	1. Has no ownership or shares in Pipfruit orchards, facilities or marketing organisations. 2. Is not employed by any of the above.	
Able to follow survey method.		
Able to action conditions for pruning dispensations.		
Able to detect the nominated disease symptoms.		
Able to act on significant findings.		
Able to complete inspection record		

Re-assessment required? YES NO (delete one)	
Auditors name:	Auditors Signature:

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