

SEED IMPORT/ EXPORT PROCEDURES MANUAL FOR GOVERNMENT AGENCIES



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INTRODUCTION

The Seed Science Center has developed the Seed Import/ Export Procedures Manual for Government Agencies. This manual has been developed to provide transparency and clarity to the procedures utilized by the government agencies involved in the approval of imports and/or exports of seed from their country. The manual has combined the requirements of the seed and the plant health departments to reduce the time and personnel constraints that translate into additional and sometimes expensive and unnecessary costs all based on process management. Process management is a tool utilized in the public and private sector for the control processes, procedures, and activities to streamline operations and to minimize faulty product.

This manual is a blueprint for the establishment of an ISO-like seed import and export system. The core process defined in this manual is the “Seed Import and Export” that includes the procedures listed below. The content of each procedure includes the purpose, scope, references, definitions, responsibilities, activities, records, and flowcharts.

Each procedure indicates why the procedure is important and is described in the purpose, while the scope defines the beginning and the ending of the procedure. Each procedure contains the description of the activities that define the “what”, “when”, and “where” and describes the sequence that must be followed. The activities are directly linked with the flowchart that provides a visual representation of each procedure. Formats for records and reports are included as annexes and are linked to each pertinent activity.

This proposed manual includes five operational procedures and two support procedures.

Operational Procedures:

- Seed Import Permit Procedure
- Seed Import Clearance Procedure
- Non-Compliance Procedure
- Seed Export Procedure
- Appeals Procedure

Support Procedures:

- Document Control Procedure
- Record Control Procedure

ACKNOWLEDGEMENTS

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The editing of this manual by Suzanne Schuknecht, Program Assistant Department of Economics ISU, is much appreciated.

REFERENCES

- International Plant Protection Convention, New Revised Text, November 1997.
- Principles of plant quarantine as related to international trade ISPM # 01, February 1995.
- Guidelines for pest risk analysis ISPM # 02, February 1996.
- Glossary of Phytosanitary Terms 2002 ISPM # 05, April 2002.
- Export certification system ISPM # 07, November 1997.
- Pest risk analysis for quarantine pests including analysis of environmental risks and living modified organisms ISPM # 11, April 2004.
- Guidelines for Phytosanitary Certificates ISPM # 12 May 2001.
- Guidelines for a Phytosanitary Import regulatory system ISPM # 20, April 2004.

SEED IMPORT PERMIT PROCEDURE

NATIONAL PLANT PROTECTION ORGANIZATION (NPPO)

Authorization Date

Effective Date

Created by

Approved by

1. Purpose:

1.1 The objective of this procedure is to define the sequence of events, interfaces, and responsibilities involved in the process of approving an application for a seed import permit.

2. Scope:

2.1 From submission of the application of the import permit to the approval or non-approval of the application.

3. References:

- 3.1 National Phytosanitary Regulations
- 3.2 National Seed Regulations
- 3.3 International Plant Protection Convention
- 3.4 International Standards for Phytosanitary Measures
- 3.5 Phytosanitary Requirements in the SADC Region.

4. Definitions:

- 4.1 SA: Seed Authority, government agency responsible for seed import/export.
- 4.2 NPPO: National Plant Protection Organization, government agency responsible for phytosanitary seed exports. Official service established by a government to discharge the functions specified by the IPPC (FAO, 1990).
- 4.3 IPPC: International Plant Protection Convention, as deposited with FAO in Rome in 1951 and subsequently amended.
- 4.4 ISPM: An International Standard on Phytosanitary Measures adopted by the Conference of FAO.
- 4.5 PIP: Plant Import Permit, an official document authorizing importation of seeds in accordance with specified requirements (FAO, 1995).
- 4.6 PC: Phytosanitary Certificate, certificate patterned after the model certificates of IPPC.
- 4.7 PRA: 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 measure to be taken against it.
- 4.8 WTO: World Trade Organization.
- 4.9 Consignment: A quantity of seeds being moved from one country to another and covered, when required, by a single phytosanitary certificate (FAO, 1990).
- 4.10 Seed: A commodity class for seeds for planting or intended for planting and not for consumption or processing (FAO, 2001).
- 4.11 Point of Entry: airport, seaport, or land border point officially designated for the importation of consignments, and /or entrance of passengers (FAO, 1990).
- 4.12 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 conditions of a consignment. (FAO, 1990).

- 4.13 Plant Quarantine: All activities designed to prevent the introduction and /or spread of quarantine pests or to ensure their official control (FAO, 1995).
- 4.14 Quarantine pest: A pest of potential economic importance to the area endangered thereby and not yet presents there or present but not widely distribute and being officially controlled (FAO, 1997).
- 4.15 Plants: Living plants and parts thereof, including seeds and germplasm (FAO, IPPC 1997).
- 4.16 Plants for planting: Plants intended to remain planted, to be planted or replanted (FAO, 1990).

5. Responsibility and Authority:

- 5.1 The _____ of the Seed Authority is responsible for the receptions of the seed import application, evaluating the compliance of the seed requirements, approve partially the application and send to the NPPO.
- 5.2 The _____ of the NPPO is responsible for receiving and evaluating the phytosanitary information included in the Seed Import Permit application.
- 5.3 The _____ of the NPPO is responsible for contacting with the NPPO from the exporting country for additional information required.
- 5.4 The _____ of the NPPO is responsible for conducting the PRA, establishing the phytosanitary requirements and informing the Ministry of....., for submission to the WTO.
- 5.5 The _____ of the NPPO is responsible for issuing the phytosanitary import permit and notifying the applicant and the Customs Office.

6. Activities: If the seed import application requires the approval of the SA, go to 6.1. If the seed import application does not require the approval of the seed department, go to 6.6.

6.1 Receive application

- 6.1.1 The application for a seed import (Annex A) will be received by the _____ of the SA at the following locations_____.
- 6.1.2 The _____ of the SA will verify the completeness, and record the entry immediately (Annex B) providing the applicant with the application number assigned.
- 6.1.3 The content of the application are based on the International Standard for Phytosanitary Measures of IPPC and the National Seed Regulations.

6.2 Evaluate application

- 6.2.1 The SA will evaluate the application in a period of _____working days following the Seed Regulations.
- 6.2.2 The SA will prepare a report completing the Format (Annex C).
 - 6.2.2.1 If the import application fulfills the national seed regulations requirements continue with 6.5.

6.2.2.2 If the import application is not approved, but can be corrected with additional information from the applicant, continue with 6.4.

6.2.2.3 If the import application is not approved and cannot be corrected, continue with 6.3.

6.3 Notify non-approval

6.3.1 Based on the report the SA shall notify the non-approval of the seed import application through a memo (Annex F) and signed by_____.

6.3.2 The applicant may appeal the decision following the Appeals Procedure.

6.4 Notify for additional information

6.4.1 The SA will notify the applicant for more information through a memorandum (Annex E) in a maximum of _____ working days and signed by_____.

6.4.2 Upon reception of the additional information, continue at 6.2.

6.5 Notify Approval

6.5.1 The _____ of the SA will notify the NPPO and the applicant, the approval of the import application through a memo (Annex D) in _____ working days and signed by_____.

6.6 Receive and evaluate application

6.6.1 The _____ of the NPPO will receive the PIP application (Annex N, please include your national application format), at (locations)....., and register the import permit applications using a register format (Annex G).

6.6.2 The NPPO will evaluate the application in a maximum of _____ working days and complete the NPPO report format (Annex H) following the National Phytosanitary Regulations.

6.6.2.1 If the application is not satisfactory continue with 6.7.

6.6.2.2 If the application is satisfactory and the seed import does not require a PRA, continue with 6.11.

6.6.2.3 If the application is satisfactory but the seed import requires a PRA, continue with 6.9.

6.7 Notify for additional information

6.7.1 The _____ of the NPPO will notify the applicant for more information based on the evaluation report through a memorandum (Annex I).

6.7.1.1 If the additional information is received in the time allowed continue with 6.6.

6.7.1.2 If the additional information is not received in the time allowed continue with 6.8.

6.8 Notify non-approval

- 6.8.1 The _____ of the NPPO will notify the applicant and where appropriate, the SA that the import permit is not approved after the date established for the information required by memo (Annex M).
- 6.8.2 The applicant may appeal the decision following the Appeals Procedure.

6.9 Conduct PRA

- 6.9.1 The _____ of the NPPO will conduct the pest risk analysis of the seed requested for import following the Pest Risk Analysis Guidelines of IPPC.
- 6.9.2 The _____ of the NPPO will elaborate and sign a report of PRA in a maximum of _____ working days.

6.10 Establish and notify the phytosanitary requirements

- 6.10.1 The NPPO will establish the phytosanitary requirements based on the results of the PRA report.
- 6.10.2 The _____ of the NPPO will notify the Ministry of as to the amendments in the phytosanitary requirements, for submission to WTO.
 - 6.10.2.1 If the PRA report permits the seed import, continue with 6.11.
 - 6.10.2.2 If the PRA report does not permit the seed import, continue with 6.8.

6.11 Issue plant import permit

- 6.11.1 The _____ of the NPPO will issue the permit taking into account the NPPO report, the list of phytosanitary requirements and the fee payment receipt (Annex J).
- 6.11.2 The permit will be in original for the applicant and _____ copies and signed by _____.
- 6.11.3 The NPPO will register the import permit using the record format (Annex L).

6.12 Notify approval

- 6.12.1 The _____ of the NPPO will notify the approval of the import permit to the applicant and to the Customs Office.
 - 6.12.1.1 The NPPO will send a memo of the approval notification in a maximum of _____ working days (Annex K).
- 6.12.2 This entire procedure, under normal conditions will take a maximum of _____ working days.

7. Records:

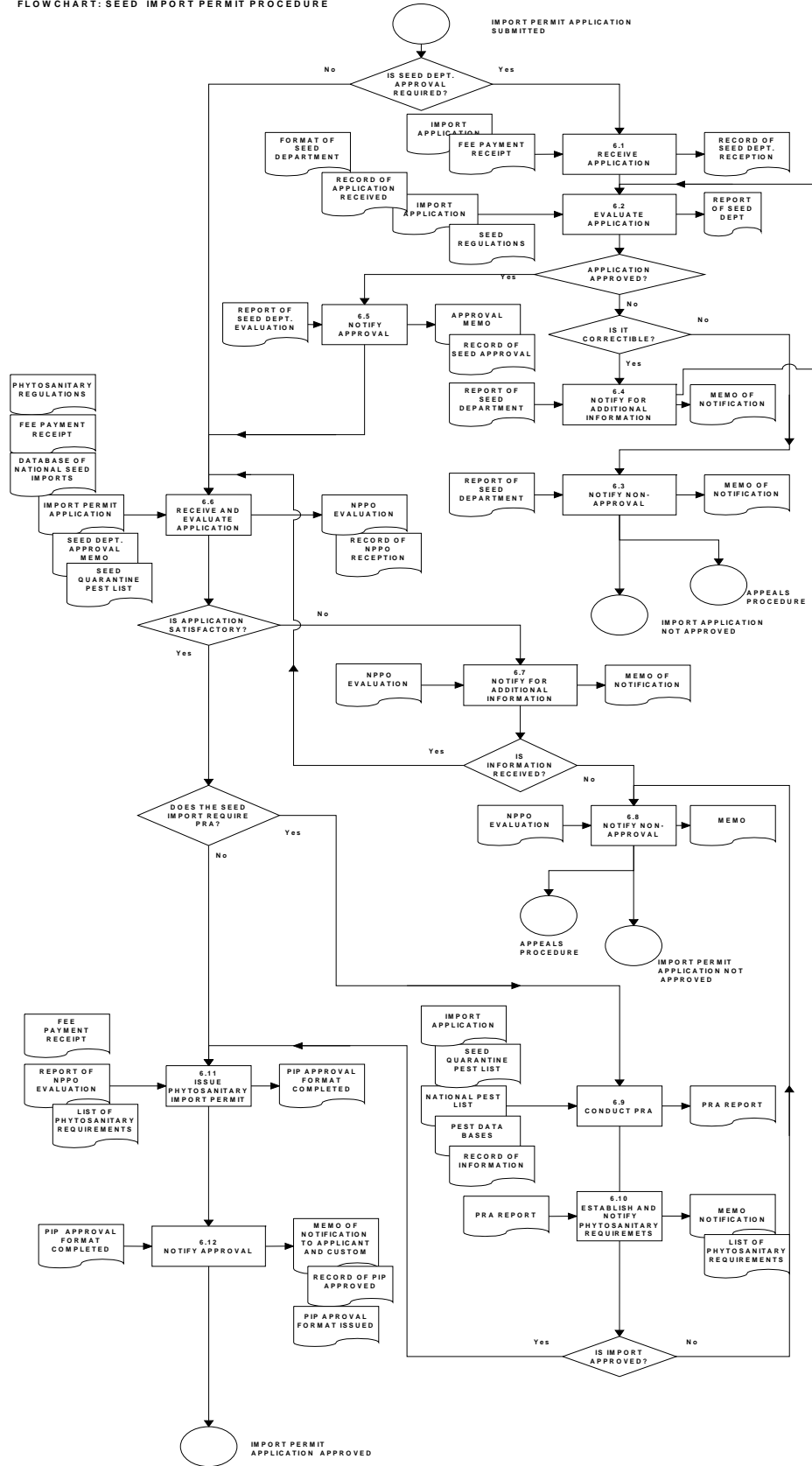
- 7.1 Record of Seed Authority Reception
- 7.2 Record of Seed Evaluation Report
- 7.3 Record of Seed Import Application Approval

- 7.4 Record of NPPO Reception
- 7.5 Record of NPPO Evaluation
- 7.6 Record of PRA
- 7.7 List of Phytosanitary Requirements
- 7.8 Record of PIP approval
- 7.9 Record of PIP issued

8. Flowchart and Annexes:

- 8.1 Flowchart
- 8.2 Annex A: Seed Import Application Format
- 8.3 Annex B: Format of Seed Import Application received
- 8.4 Annex C: Format of Seed Authority Report
- 8.5 Annex D: Format of Memo of SA Approval Notification Format
- 8.6 Annex E: Format of Memo of SA Additional Information Format
- 8.7 Annex F: Format of Memo of SA Non-Approval Notification Format
- 8.8 Annex G: Format of NPPO Application Record
- 8.9 Annex H: Format of NPPO Evaluation Report
- 8.10 Annex I: Format of Memo of NPPO Additional Information Format
- 8.11 Annex J: Plant Import Permit Format
- 8.12 Annex K: Format of Memo of NPPO Approval Notification Format
- 8.13 Annex L: Format of Record of Plant Import Permit Approved
- 8.14 Annex M: Format of Memo of NPPO non-approval Notification Format
- 8.15 Annex N: Format of Import Permit Application

FLOWCHART: SEED IMPORT PERMIT PROCEDURE



ANNEX A

SEED IMPORT APPLICATION FORMAT

FOR OFFICIAL USE (Seed Authority)

PLACE AND DATE	APPLICATION NUMBER
----------------	--------------------

APPLICANT INFORMATION

NAME OF IMPORTER	ADDRESS AND TEL/FAX/ E-MAIL
NAME OF EXPORTER	ADDRESS AND TEL/FAX/ E –MAIL

DESCRIPTION OF CONSIGNMENT

COMMON NAME	BOTANICAL NAME	VARIETY/HYBRID NAME	TYPE OF MATERIAL	QUANTITY (Kgs)	DESCRIPTION PACKAGES

COUNTRY OF ORIGIN	COUNTRY AND PLACE OF PRODUCTION	PURPOSE OF IMPORT
POINT OF EXIT	POINT OF ENTRY	CONVEYANCE/TRANSPORT MODE
ADDITIONAL INFORMATION:		

NAME OF APPLICANT: _____ **DATE:** _____

SIGNATURE OF APPLICANT: _____

ANNEX B

FORMAT OF SEED IMPORT APPLICATION RECEIVED

APPLICATION NUMBER	DATE OF RECEPTION

ANNEX C

FORMAT OF SEED AUTHORITY REPORT

APPLICATION NUMBER:

DATE:

The present seed import application complies with the national seed regulations requirements.

The present seed import application does not comply with the national seed regulations requirements because **OF APPLICANT:** _____

The present seed import application requires additional information as follows:

Authority Signature _____ Date _____

ANNEX D

MEMO OF SEED AUTHORITY APPROVAL NOTIFICATION FORMAT

TO: NPPO

CC: APPLICANT

FROM: SEED AUTHORITY

DATE:

IMPORT APPLICATION NUMBER:

I am informing you that the application for the seed imports #_____ has been approved by our Seed Authority. I have included the approved application to continue with the phytosanitary approval process.

SEED AUTHORITY SIGNATURE

ANNEX E

MEMO OF SEED AUTHORITY ADDITIONAL INFORMATION FORMAT

TO: APPLICANT

FROM: SEED AUTHORITY

DATE:

IMPORT APPLICATION NUMBER:

After the revision of your application for seed import #_____ we require additional information as requested in the attached report. That information must be submitted in the next _____ working days, otherwise the application will be denied.

SEED AUTHORITY SIGNATURE

ANNEX F

**MEMO OF SEED AUTHORITY NON-APPROVAL
NOTIFICATION FORMAT**

TO: APPLICANT

FROM: SEED AUTHORITY

DATE:

IMPORT APPLICATION NUMBER:

I regret to inform you that your application for seed import # _____ has been denied.
Please see attached report.

SEED AUTHORITY SIGNATURE

ANNEX G

FORMAT OF NPPO APPLICATION RECORD

SEED AUTHORITY APPLICATION NUMBER	DATE OF RECEPTION AT NPPO	PLANT IMPORT PERMIT NUMBER

ANNEX H

FORMAT OF NPPO EVALUATION REPORT

APPLICATION NUMBER:

DATE:

The present seed import application complies with the national plant protection and quarantine regulations requirements.

The present seed import application does not comply with the national plant protection and quarantine regulations requirements because _____

The present seed import application requires additional information as follows:

Authority Signature _____ **Date** _____

ANNEX I

MEMO OF NPPO ADDITIONAL INFORMATION FORMAT

TO: APPLICANT

FROM: NPPO

DATE:

IMPORT APPLICATION NUMBER:

After the revision of your application for seed import # _____ we require additional information as requested in the attached report. The information required must be submitted in the next _____ working days, otherwise the application for import will be denied.

NPPO SIGNATURE

ANNEX J

PLANT IMPORT PERMIT FORMAT

GOVERNMENT OF (COUNTRY LOGO) MINISTRY OF AGRICULTURE
PLANT IMPORT PERMIT

Number _____

Act e.g. Plant Pests and Disease Act (Import) Regulations, Year _____

**PERMIT AUTHORIZING THE IMPORTATION OF GROWING MEDIA/
INJURIOUS ORGANISMS/INVERTEBRATES/ PLANTS AND PLANT
PRODUCTS**

Permission is granted to _____

(Name of importing Person/ Company)

Of _____

(Address of importer in importing country)

To import in one consignment, within six months of the date of this permit,
from _____

(Name of exporting person/company)

Of _____

(Address of exporter in exporting country)

Through _____

(Entry point: border/ railway station/ airport/ seaport)

The following: _____

(Agricultural produce and products to be imported)

Subject to the following conditions/ requirements:

Additional requirements/ declaration by the exporter:

Additional Declaration on Phytosanitary Certificate

Organism: **AD1 –AD6**

AD: an additional declaration on the Phytosanitary Certificate

DECLARE THAT;

AD1: the organism does not occur in the COUNTRY of production

AD2: the organism does not occur in the AREA of Production

AD3: the PARENT PLANT were INSPECTED during ACTIVE GROWTH and found free from the organism

AD4: the CONSIGNMENT was TESTED and found Free from the organism

AD5: the CONSIGNMENT was INSPECTED and found free from the organism

AD6: the CONSIGNMENT was treated with an appropriate fumigant not more than 14 days PRIOR to export; especially against the organism

ANNEX K

MEMO OF NPPO APPROVAL NOTIFICATION FORMAT

TO: APPLICANT AND CUSTOMS OFFICE

FROM: NPPO AUTHORITY

DATE:

IMPORT PERMIT APPLICATION NUMBER:

I am informing you that your application for seed imports reference # _____ has been approved. I attach the signed Plant Import Permit # _____.

NPPO SIGNATURE

ANNEX L

RECORD OF PLANT IMPORT PERMIT REQUESTED

APPLICATION NUMBER	DATE OF ISSUE	DATE OF EXPIRATION	MATERIAL SPECIES	QUANTITY	COUNTRY/PLACE OF ORIGIN	IMPORTER

ANNEX M

MEMO OF NPPO NON-APPROVAL NOTIFICATION FORMAT

TO: APPLICANT AND SEED AUTHORITY

FROM: NPPO

DATE:

IMPORT APPLICATION NUMBER:

I regret to inform you that your application for Plant Import Permit #_____ has not been approved. Please see attached report.

NPPO AUTHORITY SIGNATURE

SEED IMPORT CLEARANCE PROCEDURE

NATIONAL PLANT PROTECTION ORGANIZATION (NPPO)

Authorization Date

Effective Date

Created by

Approved by

- 1** **Purpose:**
 - 1.1 The objective of this procedure is to define the sequence of events, interfaces, and responsibilities involved in the process of clearance of a seed lot for importation.

- 2** **Scope:**
 - 2.1 From the approved seed importation arrival to the release or rejection of the seed import.

- 3** **References:**
 - 3.1 National Phytosanitary Regulations
 - 3.2 National Seed Regulations
 - 3.3 Biosafety Regulations
 - 3.4 International Plant Protection Convention
 - 3.5 International Standard for Phytosanitary Measures
 - 3.6 Phytosanitary Requirements in the SADC Region.
 - 3.7 ISTA Rules

- 4** **Definitions:**
 - 4.1 NPPO: National Plant Protection Organization, government agency responsible for phytosanitary seed exports. Official service established by a government to discharge the functions specified by the IPPC (FAO, 1990).
 - 4.2 IPPC: International Plant Protection Convention, as deposited with FAO in Rome in 1951 and subsequently amended.
 - 4.3 ISPM: An International Standard on Phytosanitary Measures adopted by the Conference of FAO.
 - 4.4 PIP: Plant Import Permit, an official document authorizing importation of seeds in accordance with specified requirements. (FAO, 1995).
 - 4.5 PC: Phytosanitary Certificate, certificate patterned after the model certificates of IPPC.
 - 4.6 PRA: 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 measure to be taken against it.
 - 4.7 WTO: World Trade Organization.
 - 4.8 Consignment: A quantity of seeds being moved from one country to another and covered, when required, by a single phytosanitary certificate. (FAO, 1990).
 - 4.9 Seed: A commodity class for seeds for planting or intended for planting and not for consumption or processing (FAO, 2001).
 - 4.10 Point of Entry: airport, seaport or land border point officially designated for the importation of consignments, and /or entrance of passengers (FAO, 1990).
 - 4.11 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 conditions of a consignment.
 - 4.12 Plant Quarantine: All activities designed to prevent the introduction and /or spread of quarantine pests or to ensure their official control (FAO, 1995).

- 4.13 Quarantine pest: A pest of potential economic importance to the area endangered thereby and not yet presents there or present but not widely distribute and being officially controlled (FAO, 1997).
- 4.14 Plants: Living plants and parts thereof, including seeds and germplasm (FAO, IPPC 1997)
- 4.15 Plants for planting: Plants intended to remain planted, to be planted or replanted (FAO, 1990).
- 4.16 GMO: Genetically Modified Organism
- 4.17 ISTA: International Seed Testing Association
- 4.18 Isolation condition: growing of seed in specially protected condition for detection of potentially introduced pathogens, otherwise not determined through laboratory techniques.
- 4.19 Clearance (of a consignment): Verification of compliance with phytosanitary regulations (FAO, 1995).
- 4.20 Compliance procedure: Official procedure used to verify that a consignment complies with stated phytosanitary requirements (CEPM, 1999).
- 4.21 Inspection: Official visual examination of plants, plants products, or other regulated articles to determine if pests are present and or to determine compliance with phytosanitary regulations (FAO, 1995).
- 4.22 Inspector: Person authorized by a National Plant Protection Organization to discharge its functions (FAO, 1990).
- 4.23 Treatment: Officially authorized procedure for the killing, removal or rendering infertile of pests (FAO, ISPM 2002).
- 4.24 Release (of a consignment): Authorization for entry after clearance (FAO, 1995).

5 Responsibility and Authority:

- 5.1 The _____ of the NPPO is responsible for receiving and checking the import documentation taking into account the document checklist.
- 5.2 The _____ of the NPPO is responsible of taking samples for testing and conducting the inspection.
- 5.3 The _____ of the NPPO is responsible for conducting the seed health testing.
- 5.4 The _____ of the SD is responsible of conducting the seed testing if necessary.
- 5.5 The _____ of the NPPO is responsible for GMO testing.
- 5.6 The _____ of the NPPO is responsible for the isolation condition testing.
- 5.7 The _____ of the NPPO is responsible for the evaluation of all the applicable tests.
- 5.8 The _____ of f the NPPO is responsible for ordering and verification of the seed treatment.
- 5.9 The _____ of the NPPO is responsible for the order for rejection and verification of the destruction or re-export.
- 5.10 NPPO is responsible for communicating the release order to the importer.

6

Activities:

6.1 Receive and check import documentation

- 6.1.1 Upon reception of the notification arrival/inspection application by the importer (Annex B), the _____ of the NPPO will check the compliance with the documentation checklist (Annex A).
 - 6.1.1.1 If the documentation is satisfactory continue with 6.2.
 - 6.1.1.2 If the documentation is not satisfactory, reject shipment.
- 6.1.2 The _____ of the NPPO will convene the date and place of inspection at the point of entry.
- 6.1.3 The _____ of the NPPO will register the notification arrival/inspection application received (Annex B) immediately and prepare the schedule of the inspections (Annex C).

6.2 Conduct inspection

- 6.2.1 The _____ of the NPPO will take a sample following the ISTA rules, conduct the inspection in accordance with the National Phytosanitary Regulations, and prepare the report (Annex D).
 - 6.2.1.1 If seed testing is necessary continue with 6.3.
 - 6.2.1.2 If seed testing is not necessary and the seed health testing is necessary continue with 6.4.
 - 6.2.1.3 If seed testing is not necessary and seed health testing is not necessary and GMO detection is necessary continue with 6.5.
 - 6.2.1.4 If seed testing, seed health testing and GMO detection are not necessary continue with 6.6.

6.3 Conduct seed testing

- 6.3.1 The _____ of the SD will conduct the seed testing to determine the genetic purity and germination according to the ISTA rules.
- 6.3.2 The _____ of the SD will prepare a seed testing report (Annex E).
 - 6.3.2.1 If seed health testing is necessary continue with 6.4.
 - 6.3.2.2 If seed health testing is not necessary and GMO detection is necessary continue with 6.5.
 - 6.3.2.3 If seed health testing is not necessary and GMO detection is not necessary continue with 6.6.
 - 6.3.2.4 If seed health testing and GMO detection are not necessary and greenhouse testing is necessary continue with 6.8.

6.4 Conduct seed health testing

- 6.4.1 The _____ of the NPPO will conduct the seed health tests required following the national and ISTA standards.
- 6.4.2 The _____ of the NPPO will prepare a seed health testing report (Annex F).
 - 6.4.2.1 If GMO detection is necessary continue with 6.6.
 - 6.4.2.2 If GMO detection is not necessary continue with 6.7.

6.5 Conduct GMO testing

- 6.5.1 The _____ of the NPPO will conduct the test to detect the presence or absence of GMO using the national methodology adopted.
- 6.5.2 The _____ of the NPPO will prepare a GMO testing report (Annex G).
 - 6.5.2.1 If testing under isolation is necessary continue with 6.6
 - 6.5.2.2 If testing under isolation is not necessary continue with 6.7

6.6 Conduct isolation condition testing

- 6.6.1 The _____ of the NPPO will conduct the test and prepare the isolation condition testing report (Annex H).
- 6.6.2 The isolation condition of the seed may be in the quarantine station or the importer facility.

6.7 Evaluate results

- 6.7.1 The _____ of the NPPO will evaluate the results and record the results with the checklist (Annex I).
 - 6.7.1.1 If the results of the tests are satisfactory continue with 6.10.
 - 6.7.1.2 If the results are not satisfactory but seed treatment is available continue with 6.9.
 - 6.7.1.3 If the results are not satisfactory and seed treatment is not available continue with 6.8.

6.8 Order rejection

- 6.8.1 The _____ of the NPPO will order the rejection of the seed lot imported taking into account the results of the seed health report, the isolation condition testing report, the GMO detection report, and the seed testing report notifying the re-export or destruction of the seed (Annex K).
- 6.8.2 The _____ of the NPPO will follow the IPPC procedures for re-export or destruction.

6.9 Order and verify seed treatment

- 6.9.1 The _____ of the NPPO will order and verify the seed treatment through direct supervision when treatment is available.
- 6.9.2 The _____ of the NPPO will prepare a treatment verification report (Annex J).

6.10 Release seed import

- 6.10.1 The _____ of the NPPO will inform the release of the seed import based on the reports of the tests and inspections (Annex L).
- 6.10.2 The _____ of the NPPO will notify the release to the importer.

6.10.3 This entire procedure, under normal conditions will take a maximum of _____ working days.

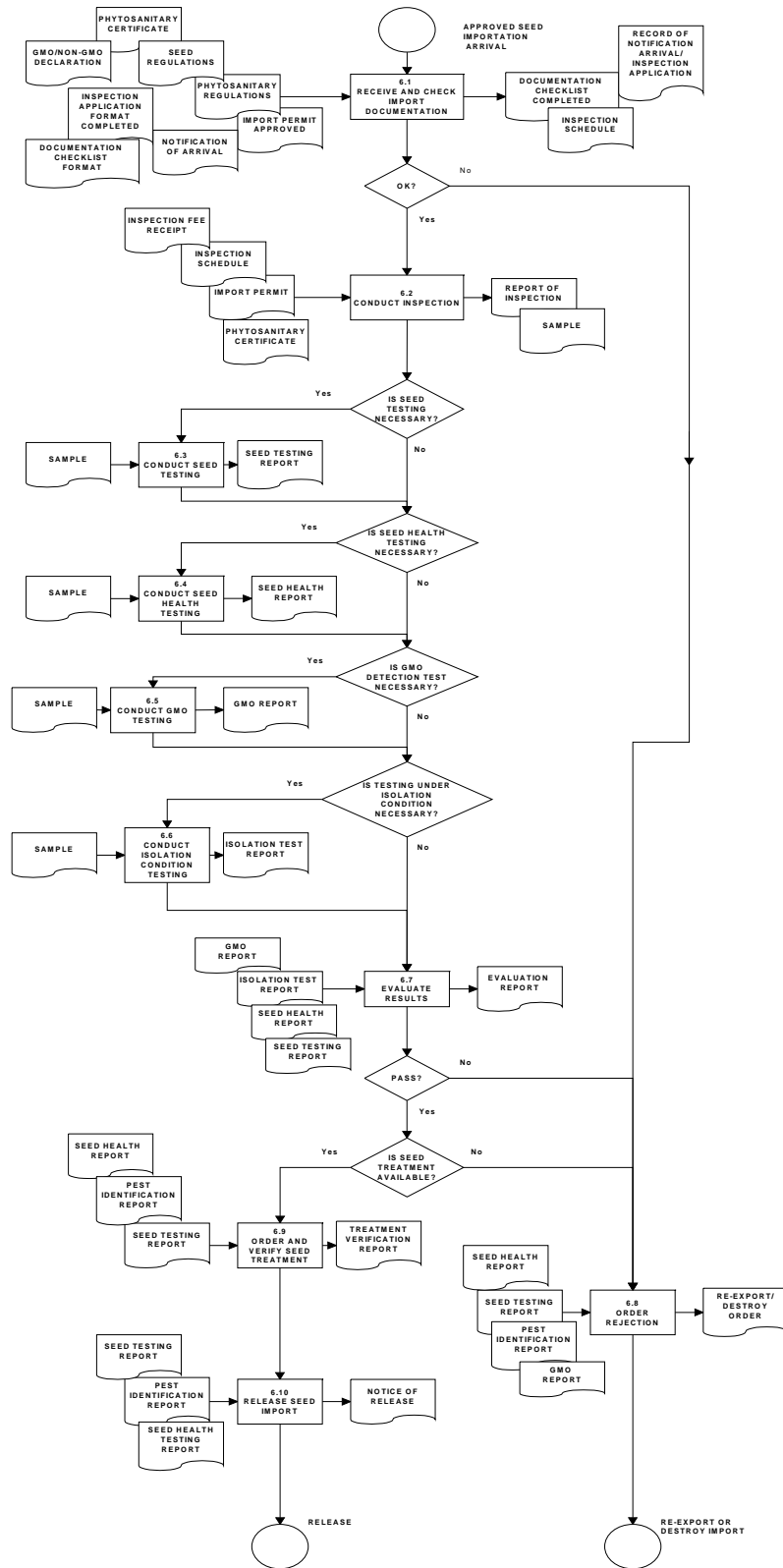
7 Records:

- 7.1 Record of Documentation Checklist
- 7.2 Record of Notification of Arrival/ Inspection Application
- 7.3 Record of Inspection Schedule
- 7.4 Record of Report of Inspection
- 7.5 Record of Samples Taken.
- 7.6 Record of Seed Health Testing Report
- 7.7 Record of Seed Testing Report
- 7.8 Record of GMO Testing Report
- 7.9 Record of Isolation Condition Report
- 7.10 Record of Evaluation of Results Report
- 7.11 Record of Seed Treatment Report
- 7.12 Record of Rejection/Re-export/Destruction
- 7.13 Record of Seed Import Release

8 Flowchart and Annexes:

- 8.1 Flowchart
- 8.2 Annex A: Documentation Checklist Format
- 8.3 Annex B: Notification of Arrival/Inspection Application Format
- 8.4 Annex C: Schedule of Inspection Format
- 8.5 Annex D: Report of Inspection Format
- 8.6 Annex E: Format of Seed Testing Report
- 8.7 Annex F: Format of Seed Health Report
- 8.8 Annex G: Format of GMO Testing Report
- 8.9 Annex H: Format of Isolation Condition Report
- 8.10 Annex I: Evaluation Report Checklist Format
- 8.11 Annex J: Format of Treatment Verification Report
- 8.12 Annex K: Notification of Rejection Format
- 8.13 Annex L: Notification of Release Format

FLOWCHART: SEED IMPORT CLEARANCE PROCEDURE



ANNEX A

DOCUMENTATION CHECKLIST FORMAT

- Plant Import Permit (Original)
- Phytosanitary Certificate (Photocopy)
- Treatment Declaration/Certificate (Photocopy)
- GMO Declaration
- Bill of Lading
- Customs Entry Clearance (Photocopy)

Date Inspected	IP #	PC #	Treatment Declaration	GMO Declaration	B/L Number	Customs Entry Reference #

ANNEX B

NOTIFICATION OF ARRIVAL AND INSPECTION APPLICATION FORMAT

PLANT IMPORT PERMIT NUMBER
IMPORTER NAME/ADDRESS
CONSIGNEMENT NAME /KIND
QUANTITY VOLUMEN/WIEGHT
PACKAGES NUMBER/KIND
CONVEYANCES AND TRANSPORT FACILITIES
TREATMENT DURING TRANSPORTATION
PLACE AND COUNTRY OF ORIGIN
FLAG AND POINT OF LOADING
DATE AND PLACE OF DEPARTURE
DATE/TIME OF ARRIVAL
DATE/TIME OF INSPECTION
APPLICANT SIGNATURE/DATE
OFFICIAL USE DATE OF INSPECTION: _____ INSPECTOR DESIGNATED: _____ NPPO SIGNATURE: _____

ANNEX C

SCHEDULE OF INSPECTIONS FORMAT

APPLICATION NUMBER	DATE/TIME OF INSPECTION	PLACE/PORT OF INSPECTION	IMPORTER	DESIGNATED INSPECTOR

ANNEX D

REPORT OF INSPECTION FORMAT

PLANT IMPORT PERMIT NUMBER	DATE AND PLACE OF INSPECTION	POINT OF ENTRY	
IMPORTER NAME AND ADDRESS			
CONSIGNEMENT (NAME AND TYPE)			
QUANTITY/VOLUME	CONDITIONS OF THE SEED MATERIAL		
KIND OF PACKAGES	CONDITIONS OF THE PACKAGES		
COMPLIANCE OF THE DOCUMENTATION			
INSPECTION RESULTS			
MEASURES THAT MUST BE TAKEN			
SAMPLES NUMBER	NAME SEEDS	QUANTITY	WEIGHT
NPPO SIGNATURE	IMPORTER SIGNATURE	CUSTOMS SIGNATURE	
PLACE/DATE			
THIS REPORT IS ORIGINAL AND ____ COPIES.			

ANNEX E

FORMAT OF SEED TESTING REPORT

PLANT IMPORT PERMIT NUMBER
BOTANICAL AND COMMON NAMES
VARIETY/HYBRID NAMES
QUANTITY
SAMPLES NUMBER/WEIGHT
PURITY %
GERMINATION%
WEED SEEDS (NAMES/QUANTITY)
METHODOLOGY

ANNEX F

FORMAT OF SEED HEALTH REPORT

PLANT IMPORT PERMIT NUMBER
NAME SEED MATERIAL
TYPE OF MATERIAL
QUANTITY
SAMPLES NUMBER/WEIGHT
VISUAL DETECTED PESTS
DISEASE AND PESTS DETECTED
DISEASE AND PESTS NOT DETECTED
METHODOLOGY
OTHER REMARKS

ANNEX G

GMO TESTING REPORT FORMAT

GMO Ref number	Date of sample submission	Name of Seed Material	Quantity/Sample Size	*Qualitative Test (PCR)		#Quantitative Test (ELISA)	Remarks
				General Screen	“Event” Specific		

* A General Screen (S35/T-Nos) provides a yes/no answer to the presence of GM-DNA in the sample. An “event” specific test is used to determine the specific GMO event present in a sample, e.g., Bt11, MON810, etc.

Quantitative testing provides an accurate estimate of the amount of GM-DNA in the sample.

ANNEX H

ISOLATION CONDITION REPORT FORMAT

NAME OF NPPO OFFICER	NAME OF SEED
PLACE OF SURVEY	METHOD OF SURVEY
CULTIVATION AREA	SIZE OF SAMPLES
NUMBER OF SAMPLES	SOIL SAMPLES
QUANTITY OF INFECTED MATERIALS	
OBSERVATIONS	
NAME OF PESTS AND DENSITY	
NAME OF QUARANTINE PESTS AND DENSITY	
CONCLUSION	
NPPO OFFICER SIGNATURE _____	
IMPORTER SIGNATURE _____	

ANNEX I

EVALUATION REPORT CHECKLIST FORMAT

TEST	RESULTS	ANALYZED/ EXAMINED BY	RECOMMENDATION
1. Inspection Report			
2. Seed Health Test			
2. GMO Test			
3. Post Entry Quarantine			

ANNEX J

FORMAT OF TREATMENT VERIFICATION REPORT

PLANT IMPORT PERMIT NUMBER
NAME OF SEED MATERIAL
QUANTITY AND WEIGHT
PLACE OF ORIGIN
CONVEYANCE
PLACE OF TREATMENT
TREATMENT METHOD/PRODUCT/DOSE
DURATION OF TREATMENT
OBSERVATIONS
RESULT OF TREATMENT
NPPO OFFICER SIGNATURE _____ IMPORTER SIGNATURE _____

ANNEX K

NOTIFICATION OF REJECTION FORMAT

TO: IMPORTER/CUSTOMS

FROM: NPPO

PLANT IMPORT PERMIT NUMBER:

DATE:

I am informing you that the consignment # _____ does not comply with the phytosanitary regulations because of _____.

_____.
The consignment must be destroyed or removed from the country by reshipping; I have enclosed the instructions for the procedure.

NPPO SIGNATURE

ANNEX L

NOTIFICATION OF RELEASE ORDER FORMAT

TO: IMPORTER/CUSTOMS

FROM: NPPO

PLANT IMPORT PERMIT NUMBER:

DATE:

I am informing you that the seed lot imported under permit #_____ has been approved to introduce in the country for the purpose of using as your declaration in the import permit with the additional conditions as described _____

NPPO SIGNATURE

NON-COMPLIANCE PROCEDURE

NATIONAL PLANT PROTECTION ORGANIZATION (NPPO)

Authorization Date

Effective Date

Created by

Approved by

1 **Purpose:**

1.1 The objective of this procedure is to define the sequence of events, interfaces and responsibilities involved in the process of actions taken for non-compliance of imported seed consignments.

2 **Scope:**

2.2 From the seed import rejection/refusal ordered to the seed imported rejected.

3 **References:**

- 3.1 National Phytosanitary Regulations
- 3.2 International Plant Protection Convention
- 3.3 International Standards for Phytosanitary Measures
- 3.4 Guidelines for Phytosanitary Certificates
- 3.5 Guidelines for the Notification of Non-Compliance and Emergency Actions
- 3.6 Export Certificates System
- 3.7 Phytosanitary Requirements in the SADC Region.

4 **Definitions:**

- 4.1 NPPO: National Plant Protection Organization, government agency responsible for phytosanitary seed exports. Official service established by a government to discharge the functions specified by the IPPC (FAO, 1990).
- 4.2 IPPC: International Plant Protection Convention, as deposited with FAO in Rome in 1951 and subsequently amended.
- 4.3 ISPM: An International Standard on Phytosanitary Measures adopted by the Conference of FAO.
- 4.4 PIP: Plant Import Permit, an official document authorizing importation of seeds in accordance with specified requirements (FAO, 1995).
- 4.5 PC: Phytosanitary Certificate, certificate patterned after the model certificates of IPPC.
- 4.6 PRA: 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 measure to be taken against it.
- 4.7 WTO: World Trade Organization.
- 4.8 Consignment: A quantity of seeds being moved from one country to another and covered, when required, by a single phytosanitary certificate. (FAO, 1990).
- 4.9 Seed: A commodity class for seeds for planting or intended for planting and not for consumption or processing (FAO, 2001).
- 4.10 Point of Entry: airport, seaport or land border point officially designated for the importation of consignments, and /or entrance of passengers (FAO, 1990).
- 4.11 Plant Quarantine: All activities designed to prevent the introduction and /or spread of quarantine pests or to ensure their official control (FAO, 1995).

- 4.12 Quarantine pest: A pest of potential economic importance to the area endangered thereby and not yet presents there or present but not widely distribute and being officially controlled (FAO, 1997).
- 4.13 Plants: Living plants and parts thereof, including seeds and germplasm (FAO, IPPC 1997).
- 4.14 Plants for planting: Plants intended to remain planted, to be planted or replanted (FAO, 1990).
- 4.15 Clearance (of a consignment): Verification of compliance with phytosanitary regulations (FAO, 1995).
- 4.16 Compliance procedure: Official procedure used to verify that a consignment complies with stated phytosanitary requirements (CEPM, 1999).
- 4.17 Inspection: Official visual examination of plants, plants products or other regulated articles to determine if pests are present and or to determine compliance with phytosanitary regulations (FAO, 1995).
- 4.18 Inspector: Person authorized by a National Plant Protection Organization to discharge its functions (FAO, 1990).
- 4.19 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 conditions of a consignment (FAO, 1990).
- 4.20 Treatment: Officially authorized procedure for the killing, removal or rendering infertile of pests (FAO, ISPM 2002).
- 4.21 Re-exported consignment: Consignment that has been imported into a country from which it is then exported consignment may be stored, split up, combined with other consignments or has changed (formerly country of re-export) (ICPM 2002).
- 4.22 Refusal: Forbidding entry of a consignment or other regulated article when it fails to comply with Phytosanitary regulations (FAO, 1995).
- 4.23 Emergency action: A prompt phytosanitary action undertaken in a new or unexpected phytosanitary situation (ICPM, 2001).
- 4.24 Interception (of a consignment): The refusal or controlled entry of an imported consignment due to failure to comply with phytosanitary regulations (FAO, 1995).
- 4.25 Interception (of a pest): The detection of a pest during inspection or testing of an imported consignment (CEPM, 1996).

5 Responsibility and Authority:

- 5.1 The _____ of the NPPO is responsible for notifying the importer the non-compliance of the imported seed.
- 5.2 The _____ of the NPPO is responsible for convening a meeting to discuss with the importer about the possible actions that could be taken with the consignment.
- 5.3 The _____ of the NPPO is responsible for notifying the NPPO of the exporting country that a quarantine pest has been intercepted based on the principles of transparency.
- 5.4 The _____ of the NPPO is responsible for issuing the phytosanitary certificate for re-export if the consignment would be re-exported to an accepting country.

6

Activities:

6.1 Notify Importer

6.1.1 The _____ of the NPPO will notify to the importer the rejection ordered of the consignment through a memo (Annex A), in _____ working days.

6.2 Discuss with Importer and take decision

6.2.1 The _____ of the NPPO will discuss with the importer the failures of the consignment and the possible actions that would be taken in _____ working days.

6.2.2 The _____ of the NPPO will take the final decision after the discussion with the importer and inform the importer.

6.2.2.1 If the consignment is to be re-exported to the originating country continue with 6.3.

6.2.2.2 If the consignment is not to be re-exported to the originating country but to be re-exported to an accepting country continue with 6.4.

6.2.2.3 If the consignment is not to be re-exported to the originating country and not to an accepting country continue with 6.5.

6.3 Order re-export to exporting country

6.3.1 The _____ of the NPPO will order the re-export of the seed consignment to the exporting country through a notification. (Annex B)

6.3.2 If the consignment is ordered to re-export to exporting country continue with 6.6.

6.4 Issue Re-export Phytosanitary Certificate

6.4.1 The _____ of the NPPO will issue a Phytosanitary Certificate for re-export following the SPS measures Export Certificates System item 4.2. (Annex C)

6.4.1.1 If the consignment is to be exported to an accepting country continue with 6.6.

6.4.1.2 If the consignment is to be destroyed continue with 6.5.

6.5 Order Destruction

6.5.1 The _____ of the NPPO will order the destruction of the consignment under the importer responsibility. (Annex D)

6.5.2 The _____ of the NPPO will check the procedure of destruction.

6.5.3 If the consignment is to be destructed continue with 6.6.

6.6 Notify to NPPO of exporting country

6.6.1 The _____ of the NPPO will notify to the NPPO of the exporting country the decision of re-exporting and the causes. (Annex E)

6.6.2 This entire procedure, under normal conditions will take a maximum of ___ working days.

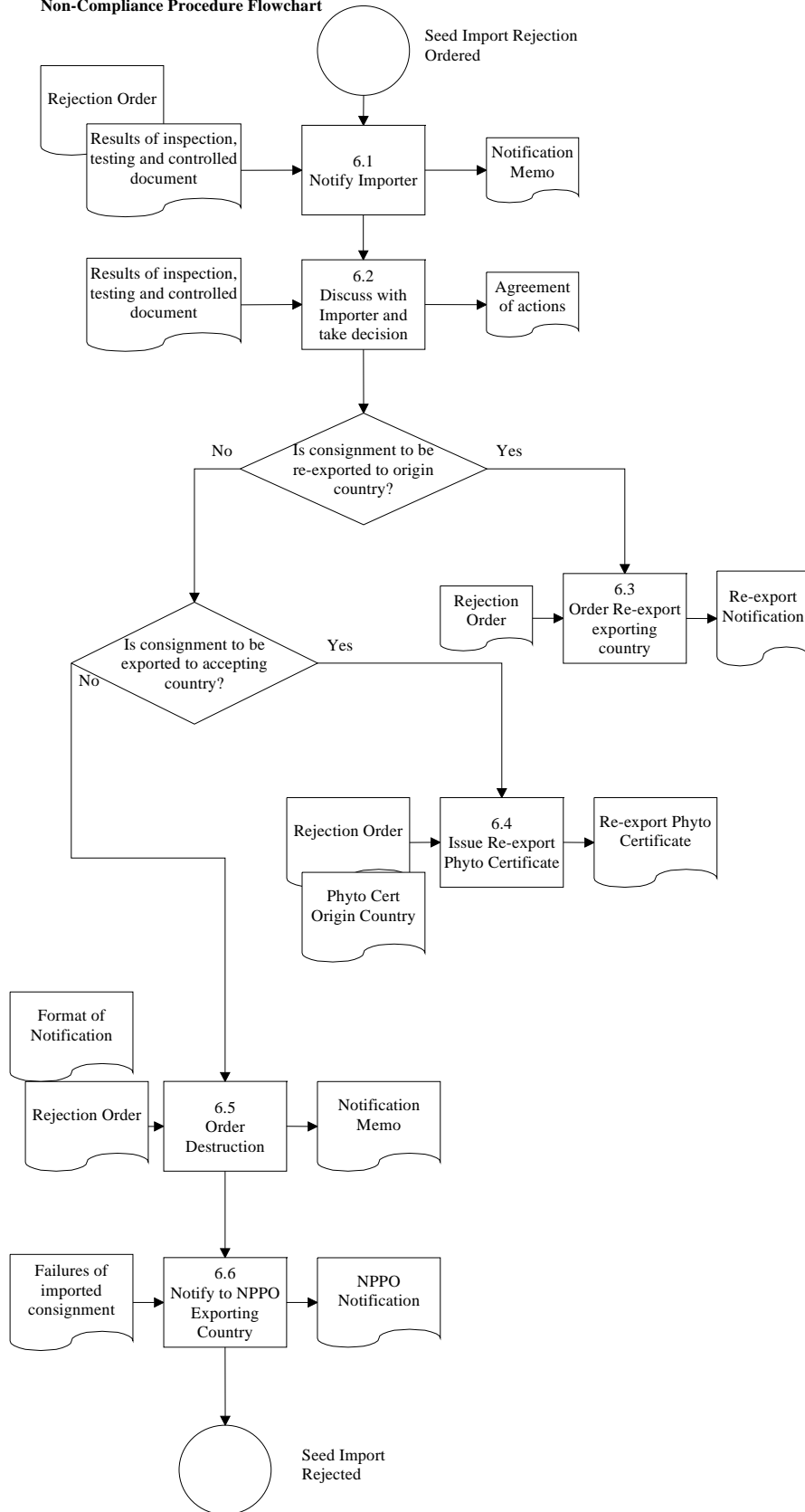
7 Records:

- 7.1 Record of Rejection order
- 7.2 Record of Imported Documents
- 7.3 Record of Results of inspection, testing of the imported consignment

8 Flowchart and Annexes:

- 8.1 Flowchart
- 8.2 Annex A: Notification of Rejection Format
- 8.3 Annex B: Notification of Re-export to exporting country
- 8.4 Annex C: Model of Phytosanitary Certificate for Re-export
- 8.5 Annex D: Notification of Consignment Destruction Format
- 8.6 Annex E: Re-Export Notification to NPPO of exporting Country

Non-Compliance Procedure Flowchart



ANNEX A

NOTIFICATION OF REJECTION/ REFUSAL FORMAT

TO: IMPORTER

FROM: NPPO

PLANT IMPORT PERMIT NUMBER:

DATE:

I regret to inform you that the consignment # _____ does not comply with the phytosanitary regulations because of _____.

The NPPO will discuss the actions that will be taken on _____ (date, time and place).

NPPO SIGNATURE

ANNEX B

NOTIFICATION OF RE-EXPORT TO EXPORTING COUNTRY

TO: IMPORTER

FROM: NPPO

PLANT IMPORT PERMIT NUMBER:

DATE:

I regret to inform you that the consignment # _____ does not comply with the phytosanitary regulations because of _____

_____.

I decided to order the re-export to the exporting country.

NPPO SIGNATURE

ANNEX C

Government of (Country Logo) Ministry of Agriculture
Phytosanitary Certificate

Model Phytosanitary Certificate for Re-Export

No. _____

Plant Protection Organization of _____ (contracting party of re-export)

TO: Plant Protection Organization(s) of _____ (contracting party (ies) of import)

I. Description of Consignment

Name and address of exporter: _____

Declared name and address of consignee: _____

Number and description of packages: _____

Distinguishing marks: _____

Place of origin: _____

Declared means of conveyance: _____

Declared point of entry: _____

Name of produce and quantity declared: _____

Botanical name of plants: _____

This is to certify that the plants, plant products or other regulated articles described above
_____ were imported into (contracting party of re-export) _____ from
_____ (contracting party of origin) covered by Phytosanitary certificate No.
_____.

*original o certified true copy o of which is attached to this certificate; that they are packed o
Repacked o in original o *new o containers, that based on the original phytosanitary certificate o
And additional inspection o, they are considered to conform to the current phytosanitary
Requirements of the importing contracting party, and that during storage in _____
(Contracting party of re-export), the consignment has not been subjected to the risk of infestation
or infection.

* Insert tick in appropriate boxes

II. Additional Declaration

III. Disinfestation and/or Disinfection Treatment

Date _____ Treatment _____ Chemical (active ingredient) _____

Duration and temperature _____

Concentration _____

Additional information _____

Place of issue _____

(Stamp of Organization) Name of authorized officer _____

Date _____ (Signature) _____

No financial liability with respect to this certificate shall attach to _____ (name of Plant
Protection Organization) or to any of its officers or representatives.**

** Optional clause

ANNEX D

NOTIFICATION OF CONSIGNMENT DESTRUCTION FORMAT

TO: IMPORTER

FROM: NPPO

PLANT IMPORT PERMIT NUMBER:

DATE:

I regret to inform you that the consignment # _____ does not comply with the phytosanitary regulations because of _____

The consignment must be destroyed; I have enclosed the instructions for the procedure.

NPPO SIGNATURE

ANNEX E

RE-EXPORT NOTIFICATION TO NPPO EXPORTING COUNTRY **FORMAT**

- Reference number (PC number)
- Date - the date on which notification is sent should be noted
- Identity of the NPPO of the importing country
- Identity of the NPPO of the exporting country
- Identity of consignment - consignments should be identified by the phytosanitary certificate number if appropriate or by references to other documentation and including commodity class and scientific name (at least plant genus) for plants or plant products
- Identity of consignee and consignor
- Date of first action on the consignment
- Specific information regarding the nature of the non-compliance and emergency action including:
 - Identity of pest
 - Where appropriate, whether part or all of the consignment is affected
 - Problems with documentation
 - Phytosanitary requirements to which the non-compliance applies
 - Phytosanitary actions taken - the phytosanitary actions should be specifically described and the parts of the consignment affected by the actions identified
- Authentication marks - the notifying authority should have a means for authenticating valid notifications (e.g. stamp, seal, letterhead, authorized signature)

Supporting information

Upon request, supporting information should be made available to the exporting Country and may include as appropriate:

- Copy of the phytosanitary certificate or other relevant documents
- Diagnostic results
- Pest association, i.e. in which part of the consignment the pest was found or how it affects the consignment
- Other information deemed to be useful for the exporting country to be able to identify and correct non-compliance

SEED EXPORT PROCEDURE

NATIONAL PLANT PROTECTION ORGANIZATION (NPPO)

Authorization Date

Effective Date

Created by

Approved by

1 **Purpose:**

1.1 The objective of this procedure is to define the sequence of events, interfaces and responsibilities involved in the process of a seed export.

2 **Scope:**

2.2 From the application submitted for a seed export to the approval or non-approval of the export application.

3 **References:**

- 3.2 National Phytosanitary Regulations
- 3.3 National Seed Regulations
- 3.4 International Plant Protection Convention
- 3.5 International Standard for Phytosanitary Measures
- 3.6 Phytosanitary Requirements in the SADC Region.
- 3.7 Guidelines for Phytosanitary Certificates
- 3.8 Export Certificates System
- 3.9 International Seed Testing Association (ISTA) rules and seed health methods

4 **Definitions:**

- 4.1 NPPO: National Plant Protection Organization, government agency responsible for phytosanitary seed exports. Official service established by a government to discharge the functions specified by the IPPC (FAO, 1990).
- 4.2 IPPC: International Plant Protection Convention, as deposited with FAO in Rome in 1951 and subsequently amended.
- 4.3 ISPM: An International Standard on Phytosanitary Measures adopted by the Conference of FAO.
- 4.4 PIP: Plant Import Permit, an official document authorizing importation of seeds in accordance with specified requirements. (FAO, 1995).
- 4.5 PC: Phytosanitary Certificate, certificate patterned after the model certificates of IPPC.
- 4.6 PRA: 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 measure to be taken against it.
- 4.7 WTO: World Trade Organization
- 4.8 Country of origin: Country where the plants were grown (FAO, 1990; CEPM, 1999).
- 4.9 Country of re-export: Country through a consignment of plant passed and was split up, store or had its packaging changed.
- 4.10 Consignment: A quantity of seeds being moved from one country to another and covered, when required, by a single phytosanitary certificate. (FAO, 1990).
- 4.11 Seed: A commodity class for seeds for planting or intended for planting and not for consumption or processing (FAO, 2001).

- 4.12 Compliance procedure: Official procedure used to verify that a consignment complies with stated phytosanitary requirements (CEPM, 1999).
- 4.13 Inspection: Official visual examination of plants, plants products or other regulated articles to determine if pests are present and or to determine compliance with phytosanitary regulations (FAO, 1995).
- 4.14 Inspector: Person authorized by a National Plant Protection Organization to discharge its functions (FAO, 1990).
- 4.15 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 conditions of a consignment (FAO, 1990).
- 4.16 Treatment: Officially authorized procedure for the killing, removal or rendering infertile of pests (FAO, ISPM 2002)
- 4.17 Phytosanitary requirements: refers to the phytosanitary requirements established by the importing country, i.e. in import permit, additional declaration, and/or special conditions.

5 Responsibility and Authority:

- 5.1 The _____ of the NPPO is responsible of receiving and registering the seed export application.
- 5.2 The _____ of the NPPO is responsible for the evaluation of the seed export application and preparing the report.
- 5.3 The _____ of the NPPO is responsible for planning the field inspections in accordance to the requirements from the importing country.
- 5.4 The _____ of the NPPO is responsible for conducting the field inspections in accordance to the requirements from the importing country.
- 5.5 The _____ of the NPPO is responsible for taking the samples in accordance to the ISTA rules.
- 5.6 The _____ of the NPPO is responsible for conducting the seed health tests and reporting the results.
- 5.7 The _____ of the NPPO is responsible for ordering and verifying the seed treatment.
- 5.8 The _____ of the NPPO is responsible for issuing the phytosanitary certificate.
- 5.9 The _____ of the NPPO is responsible for notifying the approval or non-approval of the seed export.

6 Activities:

6.1 Receive application

- 6.1.1 The _____ of the NPPO will receive the seed export application with the requirements from the NPPO of the importer country (Annex A).
- 6.1.2 The _____ of the NPPO will record the applications received and register immediately the application (Annex B) and assign a registration number to the application.

- 6.1.2.1 The NPPO will provide the registration number assigned to the applicant.
- 6.1.3 The applicant will provide the phytosanitary requirements of the importing country, related with the seed import, to the NPPO.

6.2 Evaluate application

- 6.2.1 The _____ of the NPPO will evaluate the application to ensure that the importing country phytosanitary requirements can be satisfied.
- 6.2.2 The NPPO will prepare a report of the evaluation (Annex C).
 - 6.2.2.1 If the application is not complete continue with 6.3.
 - 6.2.2.2 If the application is complete and it is necessary to conduct field inspections continue with 6.4.
 - 6.2.2.3 If the application is complete and field inspection is not necessary and seed health testing is necessary continue with 6.6.
 - 6.2.2.4 If application is complete, field inspection is not necessary and seed health testing is not necessary, and seed treatment is required, continue with 6.9.
 - 6.2.2.5 If application is complete, field inspection is not necessary and seed health testing is not necessary, and seed treatment is not required, continue with 6.10.

6.3 Notify for additional information

- 6.3.1 The _____ of the NPPO will notify the applicant for more information through a memo (Annex D) based on the report of evaluation in _____ working days.

6.4 Plan inspection

- 6.4.1 The NPPO will prepare a plan of inspection based on the application received (Annex E).
- 6.4.2 The NPPO will convene the dates for inspection with the exporter depending on the crop and the requirements from the importing country.
- 6.4.3 In the special case of a potential seed export, a seed producer may apply for a phytosanitary field inspection to the NPPO, with the purpose of having the field inspections conducted in time and in accordance with the potential importing country requirements.

6.5 Conduct inspection

- 6.5.1 The _____ of the NPPO will conduct the inspections, prepare a report (Annex F) and take samples as needed, following the national field inspection guidelines and the ISTA Rules.
- 6.5.2 The _____ of the NPPO will conduct the inspection at the prescribed times during the active growing season of the seed crop.
- 6.5.3 The _____ of the NPPO will convene with the Seed Department when it is necessary to verify other seed aspects according to the

national seed regulations and the seed requirements from the importing country.

- 6.5.3.1 If seed health testing is not required and seed treatment is required, continue with 6.9.
- 6.5.3.2 If seed health testing is required continue with 6.6.
- 6.5.3.3 If seed health testing is not required and seed treatment is not required, continue with 6.10.

6.6 Take samples

- 6.6.1 The _____ of the NPPO will take samples from the seed lot following the ISTA rules.
- 6.6.2 The _____ of the NPPO will send the samples to the laboratory immediately.

6.7 Conduct seed health testing

- 6.7.1 The _____ of the NPPO laboratory will conduct the tests as prescribed by the seed health testing protocols, upon reception of the sample.
- 6.7.2 The NPPO laboratory will prepare a report of the seed health testing (Annex G) results in _____ working days.
 - 6.7.2.1 If the seed health testing results are not acceptable and seed treatment is not available, continue with 6.8.
 - 6.7.2.2 If seed health testing results are not acceptable and seed treatment is available, continue with 6.9.
 - 6.7.2.3 If seed health testing results are acceptable and seed treatment is required, continue with 6.9.
 - 6.7.2.4 If seed health testing results are acceptable and seed treatment is not required, continue with 6.10.

6.8 Notify export non-approval

- 6.8.1 The _____ of the NPPO will notify to applicant the rejection of the seed export, because of the non-compliance with the import requirements, through a memo (Annex H) in _____ working days.
- 6.8.2 The applicant may appeal the decision following the Appeals Procedure.

6.9 Verify seed treatment

- 6.9.1 The _____ of the NPPO will order and verify the seed treatment through direct supervision when treatment is required or available.
- 6.9.2 The _____ of the NPPO will prepare a treatment verification report (Annex K).

6.10 Notify export approval

- 6.10.1 The _____ of the NPPO will notify applicant the approval of the seed export with a memo (Annex I) in _____ working days.

- 6.10.2 The.....of the NPPO will issue the phytosanitary certificate (Annex J) to the exporter.
- 6.10.3 This entire procedure, under normal conditions will take a maximum of _____ working days.

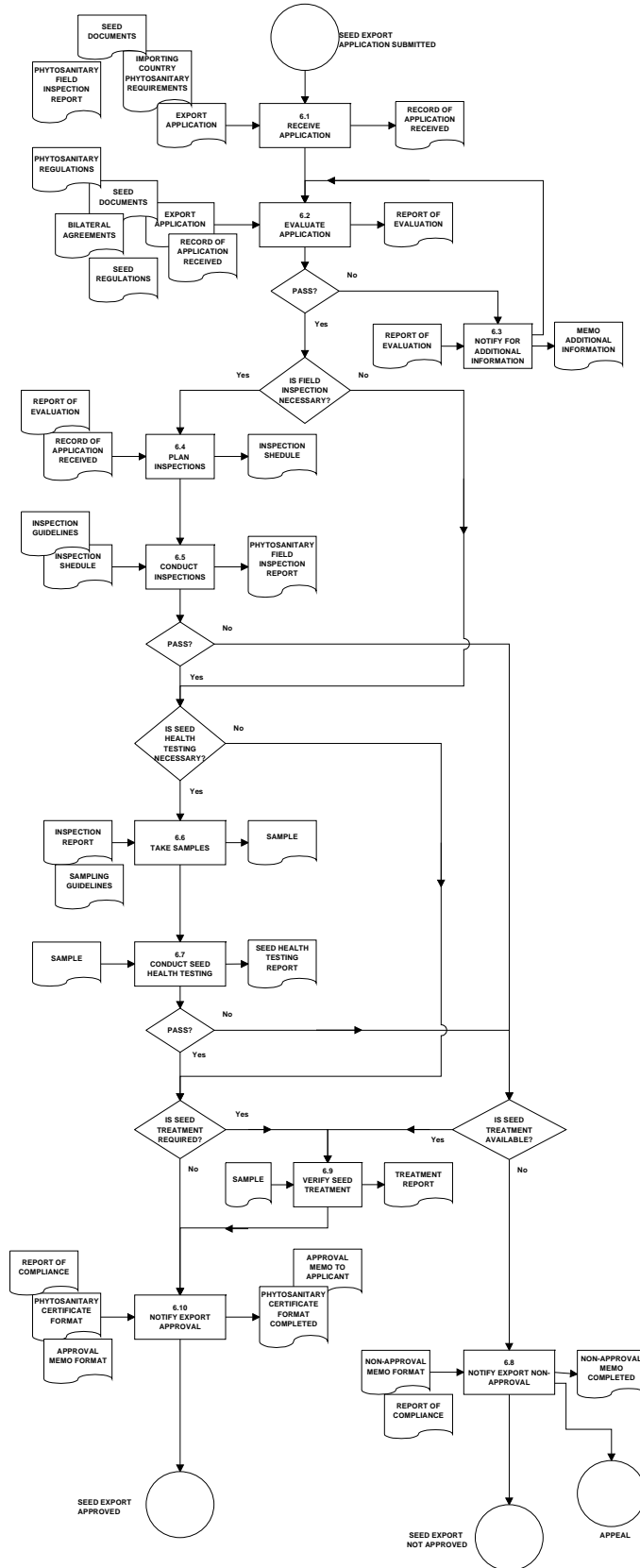
7 **Records:**

- 7.1 Record of seed export application received
- 7.2 Record of evaluation reports
- 7.3 Record of inspection schedule
- 7.4 Record of phytosanitary field inspection report
- 7.5 Record of samples taken and stored
- 7.6 Record of seed health testing reports
- 7.7 Record of seed treatment verifications
- 7.8 Record of phytosanitary certificates
- 7.9 Record of approval and non-approval of seed export notifications

8 **Flowchart and Annexes:**

- 8.1 Flowchart
- 8.2 Annex A: Seed Export Application Format
- 8.3 Annex B: Seed Export Application Register Format
- 8.4 Annex C: Report of Evaluation Format
- 8.5 Annex D: Memo for Additional Information Format
- 8.6 Annex E: Inspection Schedule Format
- 8.7 Annex F: Report of Phytosanitary Field Inspection Format
- 8.8 Annex G: Report of Seed Health Testing Format
- 8.9 Annex H: Notification of Seed Export Non-Approval Format
- 8.10 Annex I: Notification of Seed Export Approval Format
- 8.11 Annex J: Phytosanitary Certificate Format
- 8.12 Annex K: Treatment Verification Report Format

FLOWCHART: SEED EXPORT PROCEDURE



ANNEX A

SEED EXPORT APPLICATION FORMAT

SEED EXPORT APPLICATION

EXPORTER NAME/ ADDRESS	COUNTRY OF DESTINATION DATE OF EXPORT CONVEYANCE POINT OF EXIT
PLANT SPECIE (botanical and common names) VARIETY/HIBRID	IMPORTER NAME/ADDRESS PLANT IMPORT PERMIT NUMBER DATE OF ISSUE DATE OF EXPIRATION
PLACE OF PRODUCTION FIELD LOCATION	QUANTITY/WEIGHT PACKAGES
IMPORTING COUNTRY REQUIREMENTS: ADDITIONAL DECLARATION:	
SEED CERTIFICATION REQUIREMENTS	
EXPORTER SIGNATURE _____ DATE _____	

ANNEX B

SEED EXPORT APPLICATION REGISTER FORMAT

EXPORT APPLICATION #	EXPORTER	SEED MATERIAL	DESTINATION	DATE OF EXPORT

ANNEX C

REPORT OF EVALUATION FORMAT

EXPORT APPLICATION # _____

EXPORTER _____

SEED MATERIAL _____

TO COMPLY WITH THE PHYTOSANITARY REQUIREMENTS FROM THE IMPORTING COUNTRY NPPO HAS TO:

VERIFY SEED PRODUCTION DURING _____

CONDUCT INSPECTION DURING _____

IDENTIFY PESTS DURING _____

CONDUCT SEED HEALTH TESTING _____

TREAT THE SEED _____

REQUIRE ADDITIONAL INFORMATION ABOUT _____

NPPO SIGNATURE/ DATE _____

ANNEX D

MEMO FOR ADDITIONAL INFORMATION FORMAT

TO: EXPORTER

FROM: NPPO

DATE:

EXPORT APPLICATION #

After the revision of your seed export application# _____, I am requesting more information about _____.
That information must be submitted in the next _____ working days; otherwise we will not be able to continue with the evaluation.

NPPO SIGNATURE

ANNEX E

INSPECTION SCHEDULE FORMAT

APPLICATION #	DATE/TIME OF INSPECTION	LOCATION OF FIELD/ SEED	DESIGNATED INSPECTOR

ANNEX F

REPORT OF PHYTOSANITARY FIELD INSPECTION FORMAT

EXPORT APPLICATION #	DATE AND LOCATION OF INSPECTION	COUNTRY OF DESTINATION	
EXPORTER NAME AND ADDRESS			
CONSIGNEMENT (NAME AND TYPE)			
QUANTITY/SIZE OF FIELD/GREENHOUSE			
CROP STAGE			
COMPLIANCE OF THE DOCUMENTATION			
INSPECTION RESULTS			
OTHER OBSERVATIONS (SEED CERTIFICATION)			
SAMPLE NUMBER	NAME SEEDS	QUANTITY	WEIGHT
NPPO SIGNATURE	EXPORTER SIGNATURE	PLACE AND DATE	
THIS REPORT IS ORIGINAL AND ____ COPIES.			

ANNEX G

REPORT OF SEED HEALTH TESTING FORMAT

SEED EXPORT APPLICATION NUMBER
NAME SEED MATERIAL
TYPE OF MATERIAL
QUANTITY
SAMPLES NUMBER/WEIGHT
VISUAL DETECTED PESTS
DISEASE AND PESTS DETECTED
DISEASE AND PESTS NOT DETECTED
METHODOLOGY
RESULTS
COMPLIANCE WITH THE REGULATION AND REQUIREMENTS
NPPO SIGNATURE _____ DATE _____

ANNEX H

NOTIFICATION OF SEED EXPORT NON- APPROVAL FORMAT

TO: EXPORTER

FROM: NPPO

DATE:

SUBJECT: SEED EXPORT APPLICATION #

Your application # _____ requesting a permit to export _____ (seed name) has not been approved. Attached is the respective technical report which provides the reasons for not approving. You may appeal this decision in accordance with the regulations and appeal procedure.

NPPO SIGNATURE

ANNEX I

NOTIFICATION OF SEED EXPORT APPROVAL FORMAT

TO: EXPORTER AND/OR CUSTOMS

FROM: NPPO

DATE:

SEED EXPORT APPLICATION #

I am informing you that the seed export application #_____ has been approved in conformity with the regulations and requirements of the importing country. I have enclosed the appropriate Phytosanitary Certificate.

NPPO SIGNATURE

Government of (Country Logo)
Ministry of Agriculture

ANNEX J

PHYTOSANITARY CERTIFICATE FORMAT

NUMBER _____

PLANT PROTECTION ORGANIZATION of _____

TO: PLANT PROTECTION ORGANIZATION (S) of _____

I. DESCRIPTION OF CONSIGNMENT

Name and address of exporter: _____

Declared name and address of consignee: _____

Number and description of packages: _____

Distinguishing marks: _____

Place of origin: _____

Declared means of conveyance: _____

Declared point of entry: _____

Name of produce and quantity declared: _____

Botanical name of plants: _____

This is to certify that the plants, plant products or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from quarantine pests specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party, including those for regulated non-quarantine pests.

II. ADDITIONAL DECLARATION

III. DESINFESTATION AND/OR DESINFESTATION TREATMENT

Date _____ Treatment _____ Chemical (active ingredient) _____

Duration and temperature _____

Concentration _____

Additional information _____

Place of issue _____

(Stamp of Organization) _____ Name of authorized officer _____

Date _____ (signature) _____

ANNEX K

TREATMENT VERIFICATION REPORT FORMAT

IMPORT PERMIT NUMBER
NAME OF SEED MATERIAL
QUANTITY AND WEIGHT
PLACE OF ORIGIN
CONVEYANCE
PLACE OF TREATMENT
TREATMENT METHOD/PODUCT/DOSE
DURATION OF TREATMENT
OBSERVATIONS
RESULT OF TREATMENT
NPPO OFFICER SIGNATURE_____
IMPORTER SIGNATURE_____

APPEALS PROCEDURE

NATIONAL PLANT PROTECTION ORGANIZATION (NPPO)

Authorization Date

Effective Date

Created by

Approved by

- 1** **Purpose:**
 - 1.1 The objective of this procedure is to define the procedures to be followed to appeal a decision taken by the NPPO.

- 2** **Scope:**
 - 2.2 From the reception of the appeal to the report of the final decision.

- 3** **References:**
 - 3.1 National Phytosanitary Regulations
 - 3.2 NPPO documents and records
 - 3.3 National Seed Regulations
 - 3.4 National Laws
 - 3.5 International Standards for Phytosanitary Measures

- 4** **Definitions:**
 - 4.1 NPPO: National Plant Protection Organization, Official service established by a government to discharge the functions specified by the IPPC (FAO, 1990).

- 5** **Responsibility and Authority:**
 - 5.1 The _____ of the NPPO is responsible of receiving the appeal, establishing the date to meet with the applicant (importer/exporter) and obtaining reports and previous documents.
 - 5.2 The _____ of the NPPO is responsible of analyzing the appeal and preparing a preliminary report of the review meeting.
 - 5.3 The Review Committee is responsible for hearing the case and making a recommendation.
 - 5.4 The _____ of the NPPO is responsible for making a final decision.

- 6** **Activities:**
 - 6.1 Receive appeal**
 - 6.1.1 The _____ of the NPPO will receive and record the appeal request within the allowable time limit.
 - 6.1.2 The _____ of the NPPO will send the appeal to a technical committee for analysis.

 - 6.2 Review appeal**
 - 6.2.1 The technical committee will review the appeal request, previous reports and will evaluate the appeals arguments.

 - 6.3 Meeting with the appellant**
 - 6.3.1 The _____ of the NPPO may schedule a jointly agreed upon date with the appellant, for the meeting between the appealing entity and the technical committee.

- 6.3.2 The appellant will present the case including new reasons directly or indirectly related with the case.

6.4 Technical and Legal Review Decision

- 6.4.1 After the meeting with the appellant, the committee of the NPPO will make a decision; based on the technical considerations and the legal analysis, within the period established by the country and will notify the decision.
- 6.4.2 A favorable decision to the appeal may contain conditions that the entity must consider.
 - 6.4.2.1 If the decision is favorable to the appellant, continue with 6.5.
 - 6.4.2.2 If the decision is unfavorable to the appellant, continue with 6.6.

6.5 Notify favorable decision

- 6.5.1 The _____ of the NPPO will communicate the favorable decision to the appellant _____ working days after the technical and legal review meeting, through a memo of acceptance of appeal (Annex C).

6.6 Notify unfavorable decision

- 6.6.1 The _____ of the NPPO will communicate the unfavorable decision to the _____ appellant _____ working days after the technical and legal review meeting, through a memo of rejection of appeal (Annex D).
- 6.6.2 This entire procedure, under normal conditions will take a maximum of _____ working days

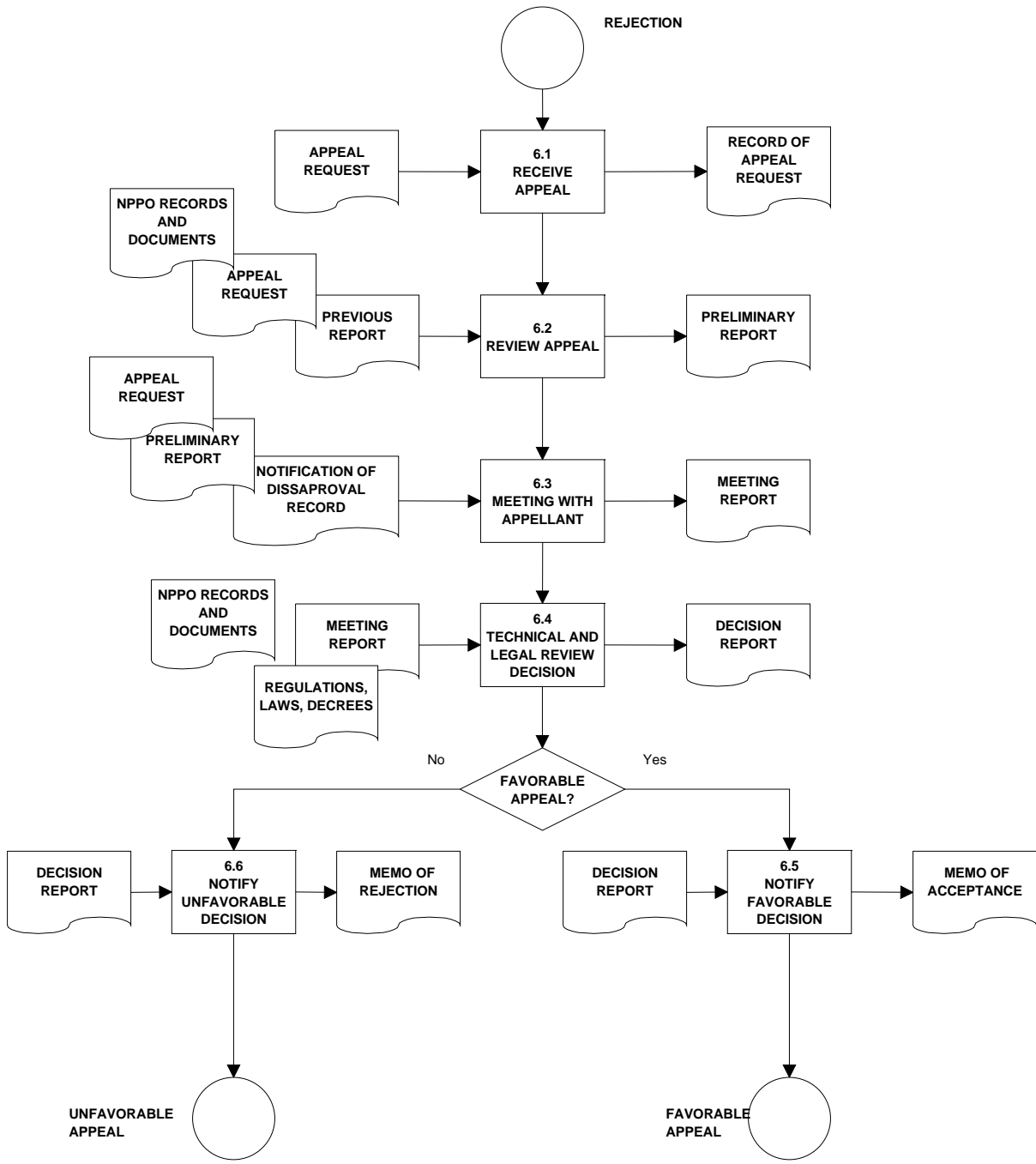
7 Records:

- 7.1 Record of appeal request
- 7.2 Record of preliminary report
- 7.3 Record of appellant meeting report
- 7.4 Record of decision report
- 7.5 Record of memos of appeal acceptance/rejection

8 Flowchart and Annexes:

- 8.1 Flowchart
- 8.2 Annex A: Format Memo for Appeal Request
- 8.3 Annex B: Format Memo for Appeal Meeting
- 8.4 Annex C: Format of Memo of Acceptance of Appeal
- 8.5 Annex D: Format of Memo of Rejection of Appeal

FLOWCHART: APPEALS PROCEDURE



ANNEX A

FORMAT MEMO FOR APPEAL REQUEST

TO: NPPO

FROM: APPLICANT

APPLICATION NUMBER:

DATE:

I have been notified about the non-approval of my application # _____ dated _____ for the seed import/ seed export. I wish to exercise my right to appeal the decision. In accordance with your procedures, I am filing this appeal within the established time limits and annexing pertinent additional information.

APPLICANT SIGNATURE

ANNEX B

FORMAT MEMO FOR APPEAL MEETING

TO: APPLICANT AND REVIEW COMMITTEE

FROM: NPPO

APPLICATION NUMBER:

DATE:

I invite you to the appeals meeting that will be held next _____ (date), at _____ (time), in _____ (address), to carry out an appeal meeting. During the meeting we will discuss the technical aspects presented in the applicant's appeal. I have included the pertinent information of the appealing entity.

NPPO SIGNATURE

ANNEX C

FORMAT OF MEMO OF ACCEPTANCE OF APPEAL

TO: APPLICANT

FROM: NPPO

APPLICATION NUMBER:

DATE:

I am informing you that your appeal of the decision of _____ under application # _____ has been accepted. If any, the following conditions apply to this favorable decision:

NPPO AUTHORITY

ANNEX D

FORMAT OF MEMO OF REJECTION OF APPEAL

TO: APPLICANT

FROM: NPPO

APPLICATION NUMBER:

DATE:

I regret to inform you that your appeal of the decision of _____ under application # _____ has been rejected. This unfavorable decision has been taken based on the following reasoning: _____

NPPO AUTHORITY

DOCUMENT CONTROL PROCEDURE

NATIONAL PLANT PROTECTION ORGANIZATION (NPPO)

Authorization Date	<input type="text"/>
Effective Date	<input type="text"/>
Created by	<input type="text"/>
Approved by	<input type="text"/>

1 **Purpose:**

1.1 Identify events, actions, activities, and responsibilities involved in the creation, identification, approval, distribution, and storage of controlled documents in the process of import/export seed.

2 **Scope:**

2.1 From the document and data identification to the implementation of their control. This will be applied to documents and data related to seed import permit application, seed import clearance and seed export procedures.

3 **References:**

3.1 Model for Document Generation
3.2 National Regulations

4 **Definitions:**

4.1 Document: Procedures, work instructions, references, specifications or regulatory material for the administration of the system.
4.2 Data: Quantified information in documents.
4.3 Controlled document: Documents formally identified. These documents are registered, maintained and their change, as well as, their implementation is regulated.
4.4 Procedure: Document that describes, “who does the job”, “when”, “where”, and “why”.
4.5 Work instructions: Document that identifies the procedures to perform a task or activity.
4.6 Internal document: Document generated outside the limits of the administrative system for example: a regulatory document that is referred to a procedure or work instruction.
4.7 Master List: List that contains information related to documents and includes information such as documents titles, revision number, and document codes.

5 **Responsibility and Authority:**

5.1 The NPPO will assure that the control of documents is conducted following this procedure.

6 **Activities:**

6.1 Identify Documents

6.1.1 Any representative of the NPPO that needs a new controlled document will inform the NPPO, which will determine whether or not to proceed with the request and create the Master List of Controlled Documents.

6.2 Create Documents

- 6.2.1 If the Document does not exist, the NPPO will assure that this Document is created. The procedures and work instruction will be prepared following the model approved by NPPO.

6.3 Review Document

- 6.3.1 If the document already exists, the NPPO will review it to assure that the information is current and achieves the needs of the system, and that it is on the Document Master List. If the document is not adequate, the NPPO will modify the internal document according the activity 6.5.
- 6.3.2 The new documents will be reviewed by the NPPO before their approval.

6.4 Approve Document

- 6.4.1 Changes in the procedures won't be allowed, except for those related to work instructions and identification of responsibilities.
- 6.4.2 The NPPO will review and approve the new document to verify its precision.

6.5 Request Document Change

- 6.5.1 Any representative of the NPPO can request any change to the documents through the Document Change Application. The NPPO will evaluate the application as well as its consequences and will either authorize it or not.
- 6.5.2 The modified document will be controlled through the activity 6.6

6.6 Control Documents

- 6.6.1 The _____ of NPPO will assure that:
 - 6.6.1.1 The Master List of Controlled Documents is kept in both hardcopy and electronically.
 - 6.6.1.2 The controlled documents are available and identified in the Master List.
 - 6.6.1.3 These documents are stamped as "controlled document".
 - 6.6.1.4 In the case that the elements of the system are kept electronically (in red), the obsolete documents will be identified and removed to prevent use.
 - 6.6.1.5 Confidential documents will be identified with the stamp and will handle by authorized personnel who will be identified in the work instructions.
- 6.6.2 Obsolete Documents:
 - 6.6.2.1 The NPPO will discard either the obsolete documents or file them. The word "OBSOLETE" will be stamped on the cover page or diskette, and they will be filed in the section of obsolete documents.

6.6.3 Photocopies:

6.6.3.1 Photocopies and printouts of controlled documents will be made just for internal training and revisions. Photocopies of confidential documents are not allowed under any circumstance.

6.7 Distribute Documents

6.7.1 The NPPO will determine a date for the document to become valid.

6.7.2 The NPPO will distribute the new document.

6.8 Inform the concerned personnel and institutions

6.8.1 The NPPO will assure that the concerned personnel understand the content of the new document or any change made to the original documents.

6.8.2 The NPPO will provide the training to the personnel when necessary to achieve the new requirements.

6.9 Ensure the access

6.9.1 The NPPO will ensure that documents of reference are available.

7 Records:

7.1 Master List of Controlled Documents

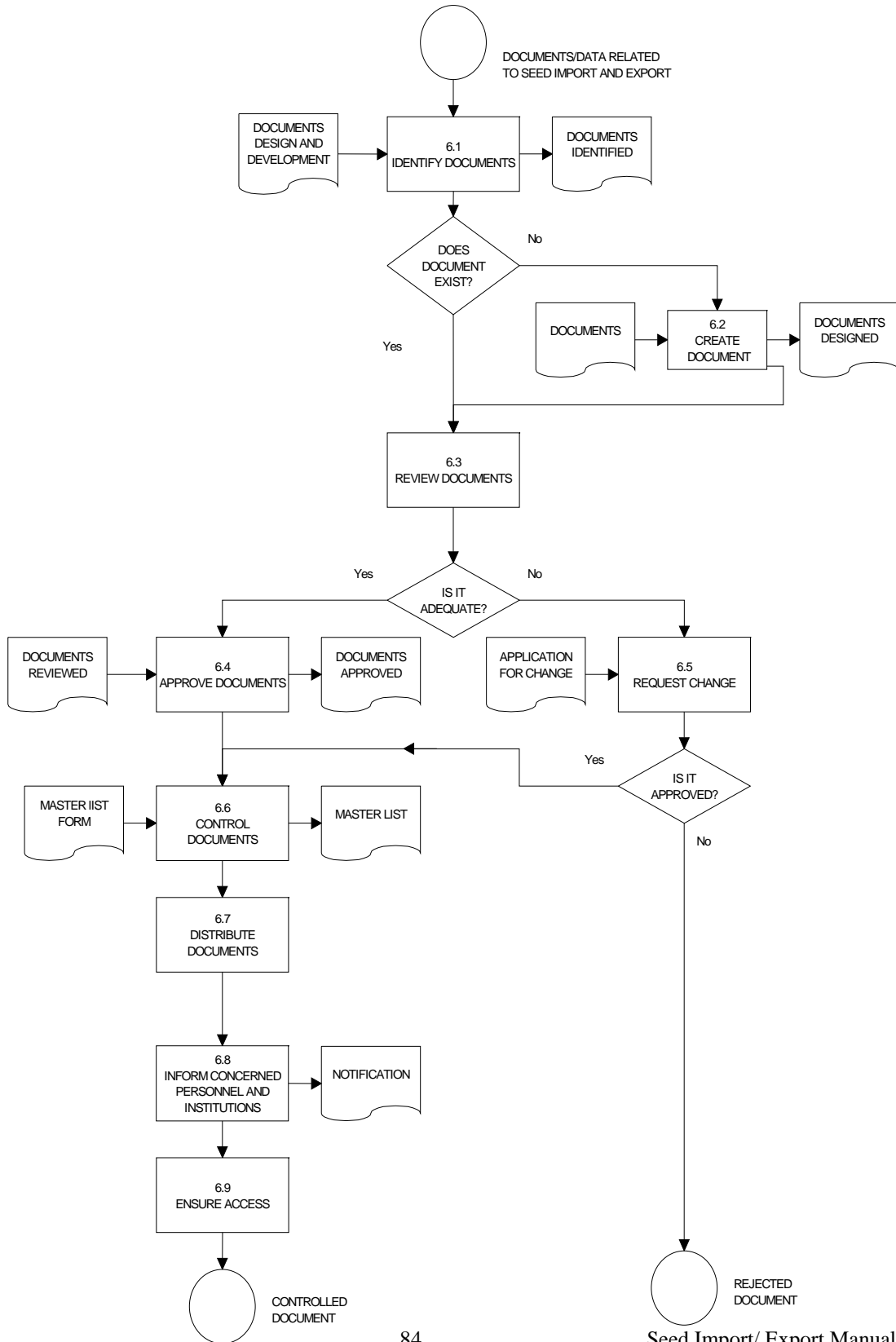
8 Flowchart and Annexes:

8.1 Flowchart

8.2 Annex A: Controlled Documents Master List

8.3 Annex B: Document Change Application

FLOWCHART: DOCUMENT CONTROL PROCEDURE



ANNEX A
CONTROLLED DOCUMENTS MASTER LIST

DOCUMENT	TITLE	NUMBER OF CODE	REVISION *	PERSON NAME OR LOCATION	COMMENTS

* If the document does not have a revision, utilize the date as an identifier

ANNEX B

DOCUMENT CHANGE APPLICATION

CHANGE REQUESTED BY		APPLICATION DATE:	
DOCUMENT TITLE			
CHANGE REQUESTED			
REASON			
RECOMMENDATION (SELECT ONE)			
<input type="checkbox"/> REJECT (reason)			
<input type="checkbox"/> ACCEPT WITH CHANGES (explain)			
<input type="checkbox"/> ACCEPT			
IF ACCEPTED	SUGGESTED DATE	VALID SINCE	
TRAINING			
RECEIVED BY COORDINATOR OF DOCUMENT CONTROL:		DATE	
AUTHORIZATION		DATE	

RECORD CONTROL PROCEDURE

NATIONAL PLANT PROTECTION ORGANIZATION (NPPO)

Authorization Date

Effective Date

Created by

Approved by

1. **Purpose:**
 - 1.1 The objective of this procedure is to define the events, actions, interfaces and responsibilities involved in the identification, collection, file, access, storage, maintenance and discharge of records in the process of seed import/export.

2. **Scope:**
 - 2.1 From records that have been generated through the procedures of seed import permit, seed import clearance and seed export to their control.

3. **References:**
 - 3.1 Administrative, Operational and Support Procedures.
 - 3.2 Regulations of Public Administration
 - 3.3 Master List of Records

4. **Definitions:**
 - 4.1 Record: Document (electronic or print), product or sample statement, which will confirm that a procedure (or part of the procedure) has been carried out.
 - 4.2 Controlled Record: is a record that requires being keeping and maintaining under safeguard for future reference in an audit and/or for traceability of a result.

5. **Responsibility and Authority:**
 - 5.1 The.....of NPPO is responsible to identify, collect, file, store, discharge and review records.

6. **Activities:**
 - 6.1 Identify Records**
 - 6.1.1 The NPPO will identify the records to be controlled, as indicated by the Administrative, Operational and Support Procedures and the Public Administration Regulation and will be included in the Master List of Records.
 - 6.2 Control Records**
 - 6.2.1 The _____ of NPPO will collect, file and keep the records.
 - 6.2.2 The _____ of NPPO will control the access to the records.
 - 6.3 Dispose Records**
 - 6.3.1 The NPPO will periodically evaluate the Master List of Records and will dispose of obsolete and unnecessary records.
 - 6.4 Review Records**
 - 6.4.1 The NPPO will prepare a record review schedule with the purpose of verifying if the records are created and maintained in an adequate manner.

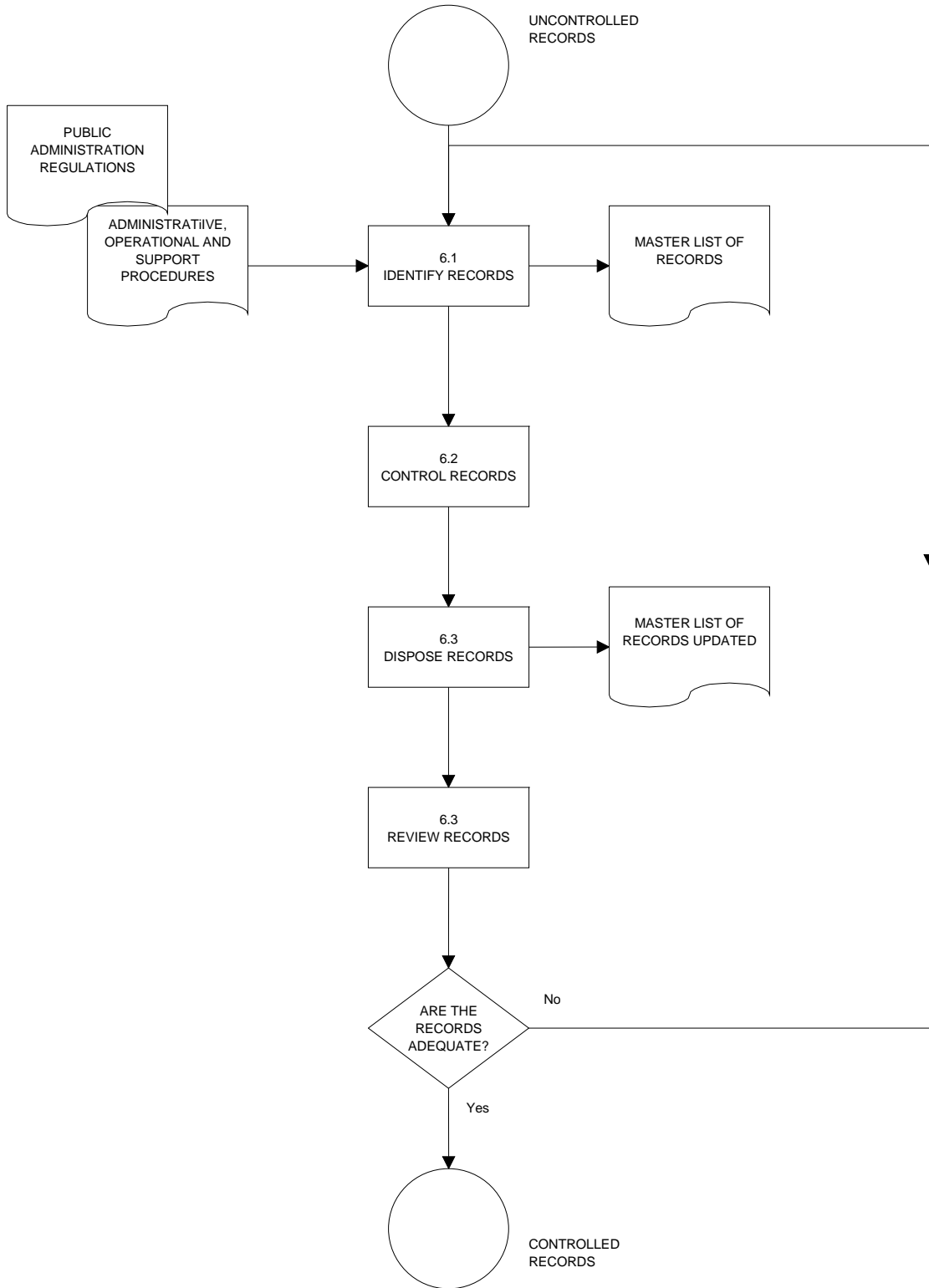
7. **Records:**
 - 7.1 Master List of Records

8 Flowchart and Annexes:

8.1 Flowchart

8.2 Annex A: Master List of Records

FLOWCHART: RECORD CONTROL PROCEDURE



ANNEX A

MASTER LIST OF RECORDS

RECORD TITLE	CODE NUMBER	DATE OF DISPOSAL	DISPOSAL AUTHORIZED BY	DISPOSAL MADE BY	PERIOD OF RETENTION	METHOD OF DISPOSAL	COMMENTS

