

ISPM 13

Guidelines for the notification of non-compliance and emergency action

Anne-Sophie Roy
Information Officer, EPPO

International trade of plants and plant products



Outline of requirements

IPPC make provision for contracting parties:

- To report significant instances of non-compliance of consignments with phytosanitary import requirements (including documentary problems)
- To report appropriate emergency action which is taken when detecting an organism posing a potential phytosanitary threat

Importing country should notify the exporting country as soon as possible

Notification should identify the nature of non-compliance so that the exporting country may investigate and made the necessary corrections (importing country may request the results of these investigations).

Notification should include specific information (listed).

Notification should follow a consistent format.

Purpose of notifications

Notifications are provided by the **importing country** to the **exporting country**:

- to identify non compliance with phytosanitary requirements
- to report emergency action when a pest posing a potential threat is detected

Purpose of notifications (cont.)

- Notification is intended to help in investigating the cause of the non-compliance and to facilitate steps to avoid recurrence
- Notification can be used for other purposes but only with the aim of international cooperation to prevent entry/spread of regulated pests

The use of notification information

- Notification is normally bilateral
- Notification provides valuable information for official purposes but information may be easily misunderstood or misused if taken out of context
- Notification and information should be at first only given to the exporting country (opportunity to investigate and correct if necessary)
- Good reporting practices for interceptions in ISPM no. 8

Provisions of the IPPC related to notification

ISPM 13 here recalls the articles of the IPPC related to the routine practice of notification (VII.2f, VII.6, VIII.1, VII.2, XVIII)

- Rapid report of non-compliance, need for investigations, emergency actions which should be reported to the contracting party and RPPO concerned
- Establishment of contact points
- Countries which are not contracting parties are encouraged to use notification systems

Basis for notification

Significant instances of non-compliance

Countries may agree bilaterally on these instances

ISPM 13 gives guidance on significant instances:

- Failure to comply with phytosanitary requirements
- Detection of regulated pests
- Failure to comply with documentary requirements, including:
 - absence of PC
 - uncertified alterations or erasures to PCs
 - serious deficiencies in information on PCs
 - fraudulent PCs

Basis for notification

Significant instances of non-compliance

- Prohibited consignments
- Prohibited articles in consignments (e.g. soil)
- Evidence of failure of specified treatments
- Repeated instances of prohibited articles in small, non-commercial quantities carried by passengers or sent by mail

Notification may concern consignments which do not require a PC

Basis for notification - Emergency action

Emergency actions are taken on the detection of:

- Regulated pests not listed as being associated with the commodity from the exporting country
- Organisms posing a potential phytosanitary threat

Timing of notification

- Notification should be provided **promptly**, once non-compliance or need for emergency action has been confirmed and phytosanitary action taken
- If there is a significant delay (e.g. identification needed), a preliminary notification may be provided



Information included in a notification

- Consistent format with certain minimum information
- NPPOs are encouraged to provide additional information (if considered important or requested by the exporting country)
 - Copy of the PC or other relevant documents
 - Diagnostic results
 - Pest association (part of consignment where the pest was found or how it affected it)
 - Information useful for the exporting country to identify and correct non-compliance

Information included in a notification

(cont.)

- If codes, abbreviations or acronyms are used, countries should provide explanatory material
- Language:
 - Language preferred by the notifying country except where bilaterally agreed otherwise
 - Where information is requested through contact points, one of the FAO languages should be used

NOTIFICATION OF INTERCEPTION OF A CONSIGNMENT FROM A THIRD COUNTRY

1. CONSIGNOR a.name: Thai Orchid Co. b.address: Bangkok c.country: TH - Thailand	2. INTERCEPTION FILE a.reference number: 2003/ 065
3. CONSIGNEE a.name: Fresh Cargo / J. v/d Put b.address: Folkstoneweg 65, Schiphol c.country: NL - Netherlands	4. PLANT PROTECTION SERVICE OF: THE NETHERLANDS  plantenziektenkundige dienst
7. TRANSPORT a.mode(s) of transport: air transport	5.Country of export: TH - Thailand 6.Country of origin: TH - Thailand
8. Point of entry: Schiphol - Amsterdam	9. IDENTIFICATION OF THE CONSIGNMENT a.type of document: phytosanitary certificate b.document number: D19782/2003 c.country: TH - Thailand d.date of issue: 20/03/2003 place of issue: Bangkok
10. DESCRIPTION OF THE INTERCEPTED PART OF THE CONSIGNMENT d.botanical name of plant, plant product or other object: Dendrobium spp. e.class of commodity: cut flowers and branches with foliage (120)	12. Net mass/number of units of the intercepted consignment: 4604 stems
14. REASON(S) FOR INTERCEPTION a.reason(s): presence of harmful organisms (070) b.scientific name of the harmful organism: Thrips palmi c.extent of contamination: plants, plant products and other objects	
15. MEASURES TAKEN a.measures destruction (02) extent of measures: contaminated products	16. FREE TEXT Import requirements mentioned on: www.misp.gov.sg
17. INFORMATION ON THE INTERCEPTION a.place/checkpoint: Schiphol b.official service: Plantenziektenkundige Dienst c.date: 21/03/2003	18. SENDER OF THE MESSAGE a.Plant Protection Service Division Field Service Support P.O.Box 9102, 6700 HC Wageningen Phone +31 (0) 317 350111 Fax +31 317 426094 d.Head: drs. I. Knotnerus c.date: 24/04/2003

Reference number

Identity of the NPPO of the importing country

Identity of consignee/consignor

Identity of the NPPO of the exporting country

Identity of consignment (PC nb, Latin name for plants)

Pest identity (or document problems)

Extent of infestation

Phytosanitary action taken

Authentication mark

Date (first action)

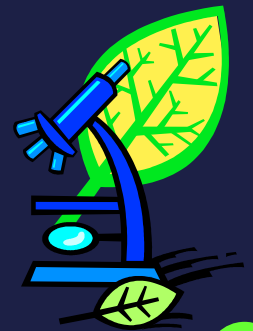
Date (sending of notification)

Documentation and means of communication

- Notification documents, supporting information and associated records should be kept at least 1 year after the date of notification
- Preferably use electronic notifications
- Notification should be sent to:
 - IPPC contact point or
 - NPPO of exporting country (or a specified contact as agreed bilaterally)
- Communication from official contact points is considered to be authentic unless the NPPO of the importing country indicates other official sources

Pest identification

- Identification is required to determine if pest are, or should be, regulated pests and justify phytosanitary or emergency action
- If identification is not possible (inappropriate life stage or condition, lack of expertise), reason should be given on notification



Pest identification (cont.)

When identifying pests countries should:

- Be able to describe the diagnostic (procedures, sampling, diagnostician/lab) and evidence should be kept (specimens, material) to allow potentially controversial determinations (1 year)
- Indicate life-stage of the pest and its viability (if appropriate)
- Provide identification to species level (if possible) or to a taxonomic level that justifies the official actions taken



Investigation of non-compliance and emergency action

- Non-compliance:

- **Exporting country** should investigate to determine possible causes and avoid recurrence
- Upon request, investigation results should be reported to the importing country
- If investigations reveal a change of pest status: this should be communicated according to the good practices given in ISPM 8

Investigation of non-compliance and emergency action (cont.)

- Emergency action:

- **Importing country** should investigate the new or unexpected phytosanitary situation to justify emergency actions taken
- If continuance of actions is justified, phytosanitary measures of the importing country should be adjusted, published and transmitted to the exporting country

Consignment in transit

- Non-compliance (with the requirements of the transit country) and emergency action should be notified to the exporting country
- Transit country may provide a notification to the country of final destination if it suspects non-compliance, new or unexpected phytosanitary situation
- Country of final destination may copy its notifications to any transit country involved

Re-export



In cases associated with a PC for re-export, the obligation and other provisions pertaining to the exporting country apply to the re-exporting country

**Thank you for your
attention**

