

BIOSECURITY NEW ZEALAND EXPORT CERTIFICATION STANDARD

IVA Requirements

**Requirements to be met by an Independent
Verification Agency (IVA) to gain authorisation to
undertake export certification activities**

REVIEW	This Biosecurity New Zealand standard is subject to periodic review.
ENDORSEMENT	This Biosecurity New Zealand standard is hereby endorsed.
Director Pre-clearance Biosecurity New Zealand	
Date	



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1. INTRODUCTION

1.1 Background

This standard is one of a set of standards that comprise the Biosecurity New Zealand export phytosanitary certification system.

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

The standard “System Overview and Requirements” provides an overview of the policies and general requirements for Biosecurity New Zealand’s Export Certification system.

Biosecurity New Zealand has developed standards and technical requirements for the delegation of authority for the provision of phytosanitary export certification services and activities.

The series of export certification standards can be found on the Biosecurity New Zealand website.

1.2 Purpose

This standard specifies system and technical requirements additional to ISO 17020:2004 to be met by an Independent Verification Agency (IVA) to gain authorisation to undertake export certification activities.

1.3 References

Refer to Appendix 1, Biosecurity New Zealand Export Certification Standard: System Overview and Requirements.

1.4 Definitions

Refer to Appendix 2, Biosecurity New Zealand Export Certification Standard: System Overview and Requirements.

2. REQUIREMENTS FOR IVAS TO GAIN AUTHORISATION

2.1 General requirements

An IVA seeking to provide export phytosanitary certification services on behalf of Biosecurity New Zealand shall be accredited to:

AS/NZS ISO/IEC 17020:2004 'General criteria for the operation of various types of bodies performing inspection'; and comply with the independence criteria of a Type A inspection body as described by AS/NZS ISO/IEC 17020:2004.

The IVA shall meet all other technical requirements as prescribed by Biosecurity New Zealand for the certification service option for which they are seeking authorisation.

2.2 Certification service options

An IVA may be authorised by Biosecurity New Zealand to perform one or more of the following certification service options:

- Option 1** Phytosanitary Inspection.
- Option 2** Evaluation and/or audit of approved organisations and their systems.
- Option 3** Evaluation and/ or audit of suppliers of official treatments and their systems.
- Option 4** Verification of phytosanitary certificates.
- Option 5** Phytosanitary documentation (Phyto Ecert).
- Option 6** Pest Survey.
- Option 7** Seed Certification Service.

2.3 IVA authorisation process

The process for an IVA to become authorised is summarised in Table 1.

Table 1. IVA authorisation pathway

Step	IVA action	Biosecurity New Zealand action	Accreditation body action
1	Apply to an ISO accreditation body that operates under a MoU with Biosecurity New Zealand.		
2	Notify Biosecurity New Zealand of the accreditation body.		
3		The accreditation body and Biosecurity New Zealand shall assess the application and upon acceptance of the application shall appoint an assessment team.	
4	Document procedures to comply with AS/NZS		

Step	IVA action	Biosecurity New Zealand action	Accreditation body action
	ISO/IEC 17020:2004 and Biosecurity New Zealand standard for the service options selected.		
5	Submit the procedures/system from step 4 to the accreditation body and Biosecurity New Zealand.		
7		Assess compliance of IVA procedures to AS/NZS ISO/IEC 17020:2004 and Biosecurity New Zealand standards.	
8		Request any additional information.	
9	Provide any additional information.		
10		Assess additional information for compliance to associated standards and where appropriate provide provisional accreditation.	
11	Initiate provisional service delivery.		
12		Undertake a full system audit of the documented procedures to validate 'actual operations' correspond to IVA documented procedures at each service location.	
13		Notify non-compliance findings and request corrective action(s).	
14	Implement and have verified by Biosecurity New Zealand and Accreditation body the agreed corrective action(s).		
15		Verify the agreed corrective action(s).	
			Accredit the IVA to AS/NZS ISO/IEC 17020:2004.
16			Notify Biosecurity New Zealand of the accreditation of the system.
17		Biosecurity New Zealand authorises IVA and signs	

Step	IVA action	Biosecurity New Zealand action	Accreditation body action
		contract (see Appendix 1).	
18	IVA operates certification services on behalf of Biosecurity New Zealand.		

2.4 Amendments to existing system

The process for the approval of amendments to an existing IVA system shall be undertaken as described in Table 2.

Table 2. Process for amendments

Step	IVA action	Biosecurity New Zealand action	Accreditation body action
1	Make request to Biosecurity New Zealand for amendment(s) to system.		
2		Assess the amendment(s) against the appropriate Biosecurity New Zealand standard(s).	Assess the amendment(s) against the ISO 17020 as appropriate.
3		Request any additional information.	Request any additional information.
4	Provide any additional information.		
5		Validate IVA implementation of the amendment where appropriate.	Validate IVA implementation of the amendment where appropriate.
6		Notify IVA of the approval of the amendment.	
7	IVA implements the approved amendment.		

2.5 Retention of Biosecurity New Zealand authorisation by an IVA

An IVA shall retain authorisation by Biosecurity New Zealand to perform phytosanitary certification services on the basis of:

- i. Compliance with the ISO accreditation body and Biosecurity New Zealand annual audit of each service option authorised for.
- ii. Completion by the IVA of an annual internal audit of their system and notification of the results of the audit to Biosecurity New Zealand within 21 days of its completion.
- iii. Full payment of all fees as prescribed by Biosecurity New Zealand within agreed time frames.

2.6 Suspension of IVA authorisation by Biosecurity New Zealand

Authorisation of an IVA to perform phytosanitary certification services shall be suspended by Biosecurity New Zealand, in full or part, for a specified period, where:

- i. An audit by Biosecurity New Zealand or its representatives identifies non-compliance findings that confirm that the IVA system is either not in place, or is not operating in accordance with authorised procedures.
- ii. Agreed corrective actions for non-compliance findings are not implemented by the IVA within agreed timeframes.
- iii. An IVA fails to make full payment of fees to Biosecurity New Zealand unless in dispute
- iv. Requested by the IVA, refer to Section 2.9.

The IVA shall formally notify organisations to which they are providing services if suspended from undertaking that service by Biosecurity New Zealand.

During the period of the suspension, the IVA shall not offer or perform any phytosanitary certification activities on behalf of Biosecurity New Zealand for the service options they have been suspended from undertaking.

2.7 Reinstatement of an IVA following suspension by Biosecurity New Zealand

Reinstatement of an IVA's authorisation by Biosecurity New Zealand to perform export certification services shall occur only when all conditions prescribed by Biosecurity New Zealand have been met.

Biosecurity New Zealand shall formally advise the IVA the date from which their authorisation will be reinstated.

2.8 Termination of IVA authorisation after suspension by Biosecurity New Zealand

An IVA's authorisation shall be terminated by Biosecurity New Zealand when conditions prescribed by Biosecurity New Zealand are not met by the IVA.

The IVA will acknowledge receipt from Biosecurity New Zealand of the termination of their authorisation and shall not perform any further phytosanitary certification services.

2.9 IVA request for self suspension or termination of activities

Where an IVA requests their authorisation to be suspended or terminated by Biosecurity New Zealand, they shall provide Biosecurity New Zealand with a minimum of 90 days notice of this intent.

An IVA shall continue to provide all certification activities up until the agreed date of

suspension or termination.

2.10 Transfer of organisations between IVAs

IVAs shall cooperate with each other in accordance with AS/NZS ISO/IEC 17020:2004 Section 16.

When an organisation elects to transfer IVAs, the new IVA shall ensure:

- i. The organisation's approval is current
- ii. The organisations service options fall within the new IVA's scope of authorisation
- iii. Any non compliances have been appropriately resolved and are not outstanding
- iv. The audit frequency applied by the former IVA is known.

The former IVA shall be responsible for the completion of verification activities to the operator until formal acceptance of the transfer has been received from the new IVA.

Upon transfer the new IVA shall:

- i. Advise MAF within 24 hours of acceptance of transfer;
- ii. Notify former IVA that they have accepted business within 24 hours acceptance of transfer;
- iii. Request copies of all audit reports and non-compliances from the previous IVA;
- iv. Conduct a full system audit within one month of accepting the transfer;
- v. Notify Biosecurity New Zealand of the transfer.

2.11 IVA cessation of service to an organisation

An IVA shall notify Biosecurity New Zealand within 24 hours, with the reason, where they opt to no longer provide services to an organisation.

3. IVA SYSTEM REQUIREMENTS

In addition to the system requirements specified within AS/NZS ISO/IEC 17020:2004, the IVA shall document procedures to meet the following:

3.1 Confidentiality

All information obtained by an IVA in the course of their duties when acting on behalf of Biosecurity New Zealand shall be managed in accordance with the Privacy Act 1993 and shall not be released without prior approval from Biosecurity New Zealand.

All information pertaining to phytosanitary certification collected by an IVA must be made available to Biosecurity New Zealand when requested.

3.2 Competency of IVA personnel

The IVA shall document the following:

- i. Personnel with overall responsibility for management of the organisation's system, the competency required and their job description. Minimum competencies for this person are:
 - a) Demonstrable knowledge of Biosecurity New Zealand phytosanitary standards and quality management systems;
 - b) Demonstrable ability to apply them within the IVA system.
- ii. The names of staff engaged in the IVA system and their competency.
- iii. Audit staff shall be competent in the following areas:
 - a) Demonstrable knowledge and application of phytosanitary standards and quality management systems;
 - b) Demonstrable application of audit practices and competencies;
 - c) Attained a minimum competence of SG3 or equivalent;
 - d) Level of literacy and communication appropriate to the work.
- iv. Minimum competency requirements as specified in each of the applicable technical requirements.
- v. How staff are shown to be competent within the organisation's system.
- vi. How competencies are maintained on an ongoing basis.
- vii. A register of current IVA personnel undertaking phytosanitary certification activities shall be maintained by the IVA and made available to Biosecurity New Zealand upon request.

All IVA staff when performing certification activities in public shall wear photographic identification that identifies their name and IVA company name.

3.3 Records

An IVA shall document procedures in accordance with the requirements of AS/NZS ISO/IEC 17020:2004 Section 12. In addition the IVA shall maintain records as per Table 3.

Table 3. Recording requirements

IVA Record Type	Duration to be held (Yr)
All service contracts with Biosecurity New Zealand and approved organisations.	Term of contract with Biosecurity New Zealand and organisations.
Records associated with audits, inspection, pest survey, certificate verifications, and non-compliance and associated corrective actions.	2 (7 years for seed and propagatable material)
Recommendations for approval of organisations and supporting documentation.	2
Recommendations for the suspension/termination of approved organisations.	2 year following date of suspension/termination.
Interceptions of Biosecurity New Zealand	2

IVA Record Type	Duration to be held (Yr)
phytosanitary certified produce by importing countries of which authorised IVAs have been made aware.	
Competency records of personnel employed by the IVA: -Results of all competency/skills tests, -Performance history.	Ongoing whilst authorised personnel are employed, then 1 year from cessation of specific authorised activity or employment.
Historical copies of IVA procedures.	Ongoing for version(s) immediately preceding currently authorised procedures.
Pest survey records.	2

Records must be:

- i. retrievable as hard or electronic copy;
- ii. uniquely identified, dated and traceable to the IVA personnel undertaking the certification activity;
- iii. be provided to Biosecurity New Zealand upon termination of an IVA's activities on the agreed date of termination.

3.4 Sub-contracting

IVAs normally shall perform the services for which they hold authorisation. Where any part of their service is sub-contracted the IVA shall ensure, and be able to demonstrate, that their sub-contractor's documented procedures are either a part of their own IVA system/procedures, or are independently authorised by Biosecurity New Zealand.

3.5 Legislation

The IVA shall comply with all relevant legislation affecting the delivery of Biosecurity New Zealand phytosanitary certification activities.

3.6 Communication of Biosecurity New Zealand authorisation status

The IVA in making reference to its authorisation status in all media forums shall use only the following phrase or an equivalent phrase approved by Biosecurity New Zealand:

“Authorised by Biosecurity New Zealand to provide “[state the service options]”.

3.7 Reporting

3.7.1 Report content

The IVA shall provide to Biosecurity New Zealand the following reports, which shall contain information as stated within Table 2.

Table 4. Reporting requirements

Topics	Events	Quarterly	Annual
System and Surveillance audits undertaken by the IVA during the previous 12 months and containing: <ul style="list-style-type: none"> i. Approved organisation name and personnel identified within the organisation system ; ii. Date audits completed; iii. Current audit frequency; iv. Number and type of non compliances identified; v. Status of all outstanding close outs of any non-compliance identified. 	X where critical	X	X summary
Commercial and non-commercial End Point Consignment Inspections completed.		X	X summary
Critical and other non-compliances within the authorised IVA's system identified during internal audits.	X	X	X
Summary of disputes and appeals which identifies: <ul style="list-style-type: none"> i. Background to issue; ii. Outcome; iii. Legal action and settlements where applicable. 		X	X summary
Potential issues relating to Biosecurity New Zealand export phytosanitary certification.		X	
Importing countries requirements obtained from sources other than Biosecurity New Zealand.	X		
Summary of IVA personnel changes.		X	
New pest detections.	X		X summary
New crop host association.	X		Xsummary

3.7.2 Report types

Event Management Report

In the event of a critical non-compliance, or other significant phytosanitary event as described in Table 2 the IVA shall submit within 24 hours of their becoming aware of the event a written report to Biosecurity New Zealand.

The report shall contain the following minimum information:

- i. Name of organisation
- ii. Description of the event and implications
- iii. IVA action(s) taken
- iv. IVA recommendation to Biosecurity New Zealand

Quarterly and Annual Reports

Refer to section 3.7.1.

3.7.3 Reporting timeframes

Quarterly and annual reports shall be submitted by Biosecurity New Zealand by the following dates:

Table 5 Reporting time frames

Reporting Period	Due by the last working day of the month
Quarterly	
Jul/Aug/Sept	October
Oct/Nov/Dec	January
Jan/Feb/Mar	April
April/May/Jun	July
Annual	July

3.7.4 Report submission

The IVA shall submit all reports to:
Technical Support Officer
Exports (Plants)
Biosecurity New Zealand

4. IVA PHYTOSANITARY CERTIFICATION SERVICES

4.1 Phytosanitary inspection

IVAs carrying out final and/or inline inspection processes or equivalent shall develop documented procedures that meet the Technical Requirements: Phytosanitary Inspection.

4.2 Evaluation, recommendation for approval and/or audit of organisations

IVAs shall document procedures for undertaking and managing evaluation, recommendation for approval, audit and verification activities of an organisation's system, where the organisation is seeking approval under "Organisation Requirements: Requirements to be met by an organisation to gain approval to undertake export certification services."

4.3 Evaluation, recommendation for approval and/or audit of treatment suppliers

IVAs carrying out supervision of treatment suppliers shall develop documented procedures that meet the requirements of "Treatment supplier programme: overview and general requirements" and "Requirements for the supplier of official treatments".

4.4 Verification of phytosanitary certificates

IVAs seeking authorisation to complete verification of phytosanitary certificate requests must be prepared to participate on the Biosecurity New Zealand Phyto Ecert system.

Registration Process

IVAs must apply in writing to the Director to become a Phyto Ecert administrator by providing the following IVA information:

- i. Name of company.
- ii. The key contact person within the company for MAF to communicate with on Phyto Ecert implementation and operational issues.
- iii. Names of person(s) with IVA approval to be the IVA's Phyto Ecert administrator(s).
- iv. Phyto Ecert administrator(s) contact details.

Organisational Requirements

IVAs seeking to participate within the Phyto Ecert system must ensure:

- i. An IVA Phyto Ecert administrator(s) is named and approved by Biosecurity New Zealand.
The IVA Phyto Ecert administrators are required to:
 - a) Process organisation's registration requests to participate in the Phyto Ecert certificate production system by allocating unique user names and passwords.
 - b) Only provide verbal notification to the organisation's staff of their user name and password access to Phyto Ecert (this is a preventative measure to minimise fraud through the misuse of logins and passwords).
 - c) Facilitate complying organisations obtaining their ECPS allocation in PRAOSS.
 - d) Contact MAF Assist to activate an organisation's FTP user name and password.
 - e) Process all organisations' Phyto Ecert notifications for the withdrawal of authorities within the same working day the notification is received.

- f) Co-ordinate organisation's initiatives for change requests and forward these to Biosecurity New Zealand for processing.
- ii. Documented operating procedures are in place to guide their Phyto Ecert administration, including the operation and security of business continuity plans. IVAs with authority to operate MAF contingency software for the production of Certificates shall ensure:
 - a) The business continuity software provided by MAF is stored in a secure IVA environment only used on receipt of the Director's specific instruction
 - b) All certificates printed with the use of the business continuity software are:
 - 1) Produced in accordance with Sections 3.1 to 3.4 (inclusive) of the Biosecurity New Zealand Standard: "Technical Requirements: Phytosanitary Documentation Services (Phyto Ecert),
 - 2) Uniquely numbered.
 - 3) Maintained in a secure environment.
 - 4) An inventory control and printed certificate stock security procedures are in place to provide security of stocks produced through the use of the business continuity plan software, and identify to whom they have been issued.
- iii. A Phyto Ecert support function is in place to provide training, initial back up advice on problem solving and communication on system developments to organisations.
- iv. Problems, issues and initiatives identified within the operation of Phyto Ecert are communicated to MAF.
- v. MAF certificates are only being produced in accordance with the Biosecurity standard "Technical Requirements: Export Documentation Services."
- vi. Each certificate produced by the IVA is only printed once (and the associated Phyto Ecert PDF print file is not retained or distributed to another individual or organisation), contains a unique identifier that is traceable to the IVA's certificate verification process and the Phyto Ecert print history.
- vii. Retain the following records in a readily accessible form for at least two years:
 - a) All formal registration requests, and supporting papers from approved organisations and their staff seeking authority to print certificates;
 - b) A register of all IVA staff involved as Phyto Ecert User Administrators;
 - c) Certificate verification records;
 - d) Copies of cancelled phytosanitary certificates.

Certificate Verification

The IVA must document their certificate verification procedures, and address the following requirements:

- i. How they confirm plant products within an export consignment complies with the appropriate ICPR or import permit conditions;

- ii. How they confirm the certificate data within a Phyto Ecert request complies with the appropriate ICPR or import permit conditions;
- iii. Communication of pest survey, audit and inspection results to their own certificate verification staff and those in other authorised IVAs.

4.5 Phytosanitary documentation

IVAs carrying out phytosanitary documentation services shall develop documented procedures that meet the Technical Requirements :Phytosanitary documentation (Phyto Ecert).

4.6 Pest survey

IVAs carrying out pest survey services shall develop documented procedures that meet the Technical Requirements: Pest survey.

4.7 Registered certification mark

IVAs, where applicable, shall develop documented procedures that meet the Technical Requirements: Registered certification mark (ISPM15).

4.8 Seed certification services

IVAs shall develop and implement documented procedures that meet the requirements of the Technical Requirements: Seed Certification.

APPENDIX 1

Application for authorisation and Contract of authorisation are under legal consideration.