



# MPI Technical Standard: Phytosanitary Certificates

Version 2

18 November 2020

## **TITLE**

Plant Export Requirement: MPI Technical Standard: Phytosanitary Certificates

## **COMMENCEMENT**

This Plant Export Requirement is effective from 1 December 2020

## **ISSUING BODY**

This Plant Export Requirement is issued

Dated at Wellington this 18th day of November 2020

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(acting under delegated authority of the Director-General)

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<b>Contents</b>	<b>Page</b>
<b>Introduction</b>	<b>3</b>
<b>Part 1: MPI principles for phytosanitary certificates</b>	<b>5</b>
<b>Part 2: General requirements</b>	<b>6</b>
2.1 Registering for ePhyto	6
2.2 Supporting documentation	6
2.3 Requesting phytosanitary certificates	8
2.4 Printing phytosanitary certificates	10
2.5 Replacement phytosanitary certificates	12
2.6 Revoking certificates	12
2.7 Re-export certificates	12

## Introduction

This introduction is not part of the Plant Export Requirement, but is intended to indicate its general effect.

## Purpose

This standard specifies the minimum requirements for organisations to meet when requests for the production of phytosanitary certificates are made.

## Background

The Ministry for Primary Industries (MPI) has developed a series of operating standards to manage the export certification of plants and plant products. This series of standards can be found on the MPI website.

The MPI Regulatory model for plant exports operates through authorised Independent Verification Agencies (IVAs) and MPI approved organisations (MAOs) undertaking service delivery options on MPI's behalf.

## Who should read this Plant Export Requirement?

This standard applies to all MPI registered organisations requesting a phytosanitary certificate.

## Why is this important?

Operating other than in accordance with this standard will result in MPI removing the right of organisations to request MPI phytosanitary certificates.

## Document history

Previous Version Date	Current Version Date	Section Changed	Change(s) Description
25 March 2015	18 November 2020	2.1	Clarification that ePhyto users must be people, and ePhyto terms and conditions apply.
		2.3.1(13)	Added examples of distinguishing marks.
		2.4(1)	Changed to allow copies of phytosanitary certificates to be marked "COPY" anywhere on the certificate copy.
		2.4.1	Replaced list of countries requiring wet signatures with a reference to the Importing Country Phytosanitary Requirements.
		Various	Minor editorial changes.
February 2009	25 March 2015	Whole document	Full review and reissue of this standard.

## Other information

The International Standards for Phytosanitary Measures:

- Guidelines for Phytosanitary Certificates (ISPM 12).

MPI Plant Exports Certification Standard: Assurance System Framework: including;

- Appendix 1: References
- Appendix 2: Definitions

## Part 1: MPI principles for phytosanitary certificates

- (1) The phytosanitary certificate:
  - a) is a government-to-government certificate of compliance and must include specific IPPC/ISPM12 data elements;
  - b) states that the plants, plant products or other regulated articles have been inspected prior to export and meets the importing country's phytosanitary requirements;
  - c) is issued by MPI (as New Zealand's National Plant Protection Organisation);
  - d) must only contain information related to phytosanitary matters.
  - e) does not automatically guarantee acceptance and entry of a consignment of product into an importing country.
- (2) There must only be one original phytosanitary certificate for each consignment.
- (3) Import permit conditions take precedence over the requirements stated in the MPI published importing country phytosanitary requirements (ICPR) except the ICPR pest list which is complementary to the pests listed on the import permit.
- (4) MPI phytosanitary certificates must contain information supplied by the certificate requestor in compliance with the most recent ICPR.
- (5) Product presented for MPI certification must meet the importing country phytosanitary requirements and any additional requirements published by MPI; such as an official assurance programme (OAP).
- (6) Information provided by an MAO when requesting a phytosanitary certificate must be complete and correct.
- (7) Consignments considered eligible for phytosanitary certification must maintain phytosanitary security through to the point of export.
- (8) MPI may issue re-export phytosanitary certificates for legally imported product where the product is considered eligible to meet the phytosanitary requirements of the final destination country.
- (9) Only MPI can revoke an MPI issued phytosanitary certificate.

## Part 2: General requirements

- (1) Options available for organisations to attain phytosanitary certificates include:
- registration within the MPI electronic certificate production system (ePhyto) to make certificate requests only;
  - gaining MPI approval to manage and retain supporting documentation;
  - gaining MPI approval to print certificates at their nominated location;
  - gaining MPI approval to both manage and retain supporting documentation and print certificates at their nominated location(s).
  - using an IVA to request the phytosanitary certificate.

### Guidance

- The process for MPI authorisation of IVAs and the requirement for documented procedures are described in MPI Plant Export Certification Standard: IVA Requirements.
- The process for MPI approval of MAOs and the requirement for documented procedures are described in MPI Plant Export Certification Standard: Organisation Requirements.
- ePhyto is a web based computer system which electronically produces phytosanitary certificates at remote approved locations.
- MPI phytosanitary certificates are issued using ePhyto when:
  - all certificate requesting organisations (whether MPI approved or not) register to participate on ePhyto;
  - a certificate requester submits a phytosanitary certificate request;
  - an IVA validates the accuracy of the information provided by the certificate requester;
  - MPI issues the phytosanitary certificates by printing at approved print locations.

### 2.1 Registering for ePhyto

- (1) All organisations (both MPI approved and non-approved) must register with MPI to participate in ePhyto.
- (2) Individual people who use ePhyto must be registered users for registered organisations.

### Guidance

- Registered ePhyto users accept the terms and conditions detailed in “Terms and Conditions of Use and Privacy Policy for the Ministry for Primary Industries Online Systems”. This document is linked from ePhyto.
- The ePhyto registration application form can be found at the MPI website. The registrant will also need a ‘Real me’ logon ([www.realme.govt.nz/](http://www.realme.govt.nz/)) to validate their identity.
- The registration enables the organisation to make a request for a phytosanitary certificate only. It does not infer any MPI approval to collate documentation nor print phytosanitary certificates related to the request.
- Important information on the use of ePhyto can be accessed on the left hand side of the “Welcome to ePhyto” system home page.

### 2.2 Supporting documentation

- (1) All organisations must assemble relevant supporting documentation prior to making a certificate request:

- a) Non-MAOs and MAOs without MPI approval to manage and retain supporting documentation must submit all their supporting documentation to their IVA when making a certificate request;
  - b) the IVA must fully verify all supporting documentation submitted by the non-MAO or MAO without MPI approval to manage and retain supporting documentation prior to finalising the certificate request.
- (2) MAOs/IVAs seeking MPI approval to manage and retain supporting documentation must:
- a) forward within each certificate request the appropriate (if any) Import Permit for the consignment's destination;
  - b) document and implement procedures that describe how:
    - i) they source the current MPI validated importing country requirements (including import permits translated into English by an independent translation service if necessary) and how supporting documentation for each consignment is checked to confirm product complies with these requirements;
    - ii) product in the consignment was sourced from inspected and cleared product for the destination country based on IVA or MAO inspection records or an MAO declaration of conformity (DOC);
    - iii) additional declarations (ADs) where required are verified during audit.
    - iv) any treatment clauses required are supported by an MAO treatment supplier record (or DOC) to confirm the treatment requirements have been met;
    - v) phytosanitary certificates for re-export are supported by records that indicate all the destination market requirements have been met prior to entering or while present in New Zealand;
    - vi) the individual units in the consignment are traceable to the relevant records;
    - vii) the phytosanitary status of the consignment has been maintained through to the point of export.
  - c) ensure documentation management staff meet the competency requirements specified in clause 2.2.1;
  - d) maintain a filing system (electronic or hardcopy) containing the documentation supporting decision making for each certificate request;
  - e) retain the following records in a readily accessible form for at least two years:
    - i) register of all staff using ePhyto;
    - ii) supporting documentation for each certificate request;
    - iii) replaced phytosanitary certificates;
    - iv) original phytosanitary certificate (for re-exported consignments).

#### Guidance

- Examples of documents that support additional declarations:
  - pest survey clearance records for any area or production site freedom requirement; or
  - inspection records (or a DOC) for any inspected and found free of requirement; or
  - pest identifier records for any tested and found free of requirement.
- Managing and retaining supporting documentation includes collation of the consignment records (e.g. inspection records, treatment certificates etc.), confirming their accuracy and validity to the consignment and maintaining files of these for audit purposes.
- Approval to retain supporting documentation does not infer an approval to print certificates.
- Verification of an import permit export volume is not required.

### 2.2.1 Staff competency

- (1) In addition to the general staff competency requirements specified in the MPI Plant Export Certification Standard: Organisation Requirements (or IVA requirements where applicable):

- a) Staff managing supporting documentation must be able to demonstrate competence in:
- i) management and control of all data relating to a phytosanitary certificate request;
  - ii) accessing, interpreting and applying importing country requirements (ICPRs and import permit requirements) and relating these to specific documentation requirements within a certificate request;
  - iii) knowledge of required documents to facilitate phytosanitary certification;
  - iv) understanding and following MPI approved procedures for the management of supporting documentation;
  - v) reconciling plant products eligibility with a certificate request;
  - vi) accessing and competently using the ePhyto system;
  - vii) maintaining a filing system containing the relevant documentation for each certificate request.
- b) Certificate printing staff must demonstrate competence in;
- i) management and control of the printing of phytosanitary certificate and MPI security paper;
  - ii) understanding and following MPI approved procedures for the printing of certificates;
  - iii) accessing and use of the ePhyto system.

## 2.3 Requesting phytosanitary certificates

### 2.3.1 Completion of certificate data fields

Reqmt Number	Data Field	Requirement This must be:
(1)	Exporter details.	The New Zealand name and address of the exporter, the exporter's local agent or the exporter's shipper.
(2)	Consignee details.	<p>The name and address of the consignee must be sufficient in detail to confirm the identity of the consignee and to enable trace-back of non-compliant exports.</p> <p>Where the consignee is not known, the certificate requester must determine that the use of "To order" is acceptable by the NPPO of the importing country. The use of this term is at the certificate requester's risk.</p> <p>NZ has an exemption to use "To order" for Taiwan. MPI has received confirmation from the following countries that the use of "To order" must not be used:</p> <ul style="list-style-type: none"> <li>- Philippines</li> <li>- Malaysia</li> <li>- Australia</li> <li>- Vietnam</li> <li>- India</li> <li>- China</li> <li>- Indonesia</li> </ul>
(3)	Port of loading.	The last port that any portion of the plant product recorded on the phytosanitary certificate was/is to be loaded onto a vessel/aircraft.
(4)	Means of conveyance.	The means of conveyance for export from the New Zealand port of loading.
(5)	Vessel/flight/carrier.	The name of the vessel/flight/carrier the consignment is loaded onto or is to be loaded onto.
(6)	Voyage/airway Bill.	Either the vessel's voyage number or the airline's flight number.

(7)	Point of entry.	The first point of arrival in the country of destination.
(8)	Additional declaration.	The exact text of additional declarations must be used as specified on import permits or in the appropriate ICPR and may only be used if the matter is verifiable.
(9)	Date of inspection.	The date of the official phytosanitary inspection. Where there are multiple inspection dates state the most recent inspection date. This is an optional data field for most countries, however some countries require the inspection date to be stated on the phytosanitary certificate as per the ICPR.
(10)	Import permit number.	The import permit number for the plant products being exported. This data field must be completed if an import permit has been obtained that is valid for the consignment.
(11)	Additional official phytosanitary information.	Where New Zealand is the country of origin for a consignment that is to be re-exported, phytosanitary information (e.g. the results of a growing season inspection) additional to that required by the country of re-export can be included here.
(12)	Number of packages.	The number of packages being exported.
(13)	Distinguishing marks.	<p>To enable the consignment to be linked to the phytosanitary certificate, sufficiently detailed marks and numbers on the packaging or unpackaged product must be used here.</p> <p>The following examples are acceptable:</p> <ul style="list-style-type: none"> <li>• “As per consignee name”,</li> <li>• “Refer to consignee name”,</li> <li>• “As per consignee address”,</li> <li>• “Refer to consignee address”,</li> <li>• “As per container number”,</li> <li>• “Refer to container number” (this can only be used if information has already been entered into the container number field),</li> <li>• Lot numbers,</li> <li>• Packet numbers,</li> <li>• Brand names (where they enable linkage to the phytosanitary certificate),</li> <li>• Vessel name (in the case of bulk shipments),</li> <li>• Airway bill number (when attached to the consignment),</li> <li>• Seal number</li> </ul> <p>The following examples are not acceptable:</p> <ul style="list-style-type: none"> <li>• Product description</li> <li>• Variety names</li> <li>• Commodity names</li> <li>• “As addressed”</li> <li>• N/A (Not applicable)</li> </ul>
(14)	Container number.	The unique container number(s) that identifies the container in which the plant products are exported.

(15)	Seal number.	The unique number of the seal used to secure the container. In cases where there is more than one container, the order of the seal numbers must correspond to the order of the container number(s).
(16)	Botanical name.	The genus or genus and species name of the plant product being exported.
(17)	Common name.	This field is automatically populated when selecting the botanical name. The common name can also be deleted if desired.
(18)	Class/subclass.	Accurately describe the plant product being exported.
(19)	Net quantity.	The mass or volume of plant products being exported. Cubic metres must be used for the following classes: <ul style="list-style-type: none"> <li>- Logs</li> <li>- Wood/timber</li> <li>- Wood products</li> </ul>
(20)	Treatment date.	The date that the treatment was started. If the treatment is undertaken over a range of dates, the treatment end date: (dd month yyyy) is to be recorded in the additional treatment information field.
(21)	Treatment detail.	The type of treatment undertaken on the plant products being exported.
(22)	Chemical detail.	Chemicals used in the treatment process.
(23)	Duration.	Duration of the treatment.
(24)	Temperature.	The temperature applied during the treatment process.
(25)	Concentration.	The concentration of the chemical used in the treatment process.
(26)	Additional treatment information.	Other information associated with the treatment process as necessary to demonstrate compliance with the importing countries requirements. See also requirement (20) regarding the treatment date field.
(27)	Unverified information.	This is not an official/ verified part of the phytosanitary certificate. This field enables cross referencing to other associated documents and must only contain reference numbers to those documents (e.g. letter of credit, bill of lading, cities certificate etc).

## 2.4 Printing phytosanitary certificates

- (1) MAOs/IVAs seeking MPI approval to print phytosanitary certificates must:
  - a) document and implement procedures that describe how;
    - i) they only use MPI security paper when printing original phytosanitary certificates and ensure each certificate is only printed once in colour, oriented so the silver fern is on the bottom left hand corner.
    - ii) photocopies, scanned or other copies of phytosanitary certificates are clearly marked "COPY";
    - iii) their security paper inventory control system is updated as certificates are printed.
    - iv) the MPI phytosanitary certificate PDF file is:

- not modified or changed in any way to reflect different information to that stated in the MPI ePhyto version;
  - deleted from the organisation's computer system immediately after printing;
  - not distributed to another individual or organisation;
- b) order their MPI security paper through an IVA and store it in a secure environment;
- c) maintain an inventory control log for the security paper they receive;

#### Guidance

- The security paper is green with New Zealand government in wavy lines in the background. When copied or scanned the word copy appears across the page. An additional security feature of a fern hologram (in silver) has been added to the bottom left corner of the security paper.
- The cost for a ream (500 pages) of security paper can be obtained from your IVA
- Only IVAs may place orders for security paper from the supplier:
  - the MPI approved supplier will only invoice IVAs;
  - IVAs will invoice the organisations requesting security paper;
  - the MPI approved supplier can deliver the security paper to MAOs directly.
- The approved supplier provides a monthly report to MPI identifying which organisations have been supplied with security paper and volume supplied.
- Example: security paper inventory control record

Phytosanitary Certificate Inventory Log					
Date	Paper In	Usage (e.g. Cert No.)	Paper Out	Balance	Signature
1/2/14	500			500	J Smith
2/2/14		123456	1	499	J Smith
3/2/14		123457 – 61	5	494	J Smith

- d) print all MPI phytosanitary certificates using a colour laser or inkjet printer that has the capability and is set to print at a minimum resolution of 600 dpi (dots per inch);
- e) record any reasons for reprinting a phytosanitary certificate in the ePhyto system;
- f) maintain the following records in a readily accessible form for at least two years:
- i) inventory control record of allocated MPI security paper;
  - ii) register of all staff using ePhyto.
- (2) MAOs that gain MPI approval to print certificates must document within their system their nominated print location and the names of other organisations (MAOs and non-MAOs) they are printing for.
- (3) MAOs without approval to print certificates must arrange for their certificates to be printed at an MPI approved print location.

#### Guidance

- Approval to print certificates does not infer the MAO/IVA has approval to manage and retain supporting documentation.
- IVAs will crosscheck the reasons for re-printing all phytosanitary certificates during audit.

### 2.4.1 Wet signatures

- (1) Wet signatures are required for certain countries. The printed phytosanitary certificates for these countries must be printed and presented to MPI Plant Assurance or an MPI Quarantine Officer for signing.

**Guidance**

- A wet signature request will be forwarded by your nominated IVA to [PlantAssurance@mpi.govt.nz](mailto:PlantAssurance@mpi.govt.nz). MPI Plant Assurance team will courier the signed phytosanitary certificate to the exporter on a cost recovery basis.
- Phytosanitary certificates printed for countries requiring wet signatures will not contain the electronic MPI seal and signature.
- Similar printing and signing arrangements may also be made with these MPI border clearance offices::
  - the MPI Centre in Auckland, 7 Maurice Wilson Avenue, Auckland Airport;
  - Christchurch, 14 Sir William Pickering Drive;
  - Tauranga, 11 Nikau Crescent.
    - The phone number for all border clearance offices is 0800 22 20 18.
- MPI published ICPRs include wet signature requirements if applicable.

## 2.5 Replacement phytosanitary certificates

- (1) When requesting a replacement certificate, the following must be provided to the verifying IVA:
- a) the reason(s) a replacement certificate has been requested;
  - b) the original certificate marked 'cancelled'. The cancelled certificate may be held on file by the MAO/IVA for audit purposes;
  - c) the reason the original certificate cannot be retrieved including evidence that the original certificate has either been:
    - i) given to a New Zealand embassy/consulate post; or
    - ii) lost and cannot be used.

**Guidance**

- Evidence for lost certificates includes such things as written communication from the courier company, airline or shipping company.
- In the case of original certificates been held by import officials, MPI will need to get involved as a replacement certificate cannot be provided without the agreement of the importing country.

## 2.6 Revoking certificates

- (1) Only MPI can revoke an issued phytosanitary certificate. Conditions for revoking a phytosanitary certificate include:
- a) the export consignment does not meet the importing country requirements;
  - b) incorrect information identified in the phytosanitary certificate;
  - c) fraudulent information identified in the phytosanitary certificate;
  - d) the requestor has advised the phytosanitary certificate is no longer required.

## 2.7 Re-export certificates

- (1) When requesting a phytosanitary certificate for re-export the requester must be able to demonstrate:
- a) they have sourced the current final destination market requirements for product from the originating country and New Zealand;

- b) the product making up the consignment for re-export is supported by an original or certified copy of the phytosanitary certificate where the originally imported product required a phytosanitary certificate on arrival into New Zealand;
- c) all the destination market requirements have been met and the relevant production site additional declarations are included on the original phytosanitary certificate.

**Guidance**

- The certified copy may be validated by the National Plant Protection Organisation (NPPO) of the originating country or MPI.
- Where the relevant production site declaration requirements are not included in the original certificate the exporter may need to obtain this information from the NPPO of the originating country or they may contract MPI to access this data.