

Guidelines for Auditing of Plant Quarantine Activities



**Government of India
Ministry of Agriculture
Department of Agriculture & Cooperation
Directorate of Plant Protection, Quarantine & Storage
NH – IV, Faridabad - 121001, Haryana**

April - 2011

Endorsement

This standard on '**Guidelines for auditing of plant quarantine activities**' prepared by the Directorate of Plant Protection, Quarantine & Storage (Dte. of PPQ&S), Faridabad-121001 as a national standard for undertaking auditing of plant quarantine activities performed by the various plant quarantine stations distributed through out the country to ensure that the guidelines/procedures, contained in various operational manuals (where applicable), are adopted to facilitate harmonization of plant quarantine activities within the country. Plant Quarantine Information System (PQIS) has been introduced to most of the Plant Quarantine Stations. This standard provides proper guidance to carry out auditing various plant quarantine activities with a view to identify the gaps/limitations and further streamlining and improving the functioning of plant quarantine.

This standard is duly approved and endorsed for adoption on

(S.K.G. Rahate)
Plant Protection Adviser
to the Government of India
Directorate of PPQ & S
NH-IV, Faridabad-121001.

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Review & Amendment

This national standard may be subject to periodic review and amendment. The next review date for this standard is April, 2014 or any other date as may be agreed upon by the Plant Protection adviser in consultation with Joint Director (PQ). The standard shall be updated and revised as necessary. The standard holders shall ensure that the current edition of the standard being used.

Control & Distribution of the standard

The controlled copy of this standard shall be distributed to all the Plant Quarantine Stations plus nominated auditors and the master copy of the standard with Joint Director (PQ). Any enquiries regarding this standard shall be made to the Joint Director (PQ), Dte of PPQ&S, and Faridabad-121001.

Controlled Copy Holder	Copy No.
Plant Protection Adviser, Dte of Plant Protection, Quarantine & Storage, NH-IV, Faridabad-121001	1
PQ Division, Dte of Plant Protection, Quarantine & Storage, NH-IV, Faridabad	2
Dy. Director (PP/Ent), In-charge of National Plant Quarantine Station, Rangapuri, New Delhi-110037.	3
Dy. Director (Ent.), In-charge of Regional Plant Quarantine Station, Amritsar	4
Dy. Director (Ent./PP), In-charge of Regional Plant Quarantine Station, Kolkata	5
Dy. Director (Ent./PP), In-charge of Regional Plant Quarantine Station, Chennai.	6
Dy. Director (Ent./PP), In-charge of Regional Plant Quarantine Station, Mumbai	7
Plant Protection Officer, In-charge of Plant Quarantine Station, Vishakhapatnam/Kakinada	8
Plant Protection Officer, In-charge of Plant Quarantine Station, Cochin	9
Plant Protection Officer, In-charge of Plant Quarantine Station, Tuticorin	10
Plant Protection Officer, In-charge of Plant Quarantine Station, Trivandrum	11
Plant Protection Officer, In-charge of Plant Quarantine Station, Kandla / Bhavnagar	12
Plant Protection Officer, In-charge of Plant Quarantine Station, Bargaon	13
Plant Protection Officer, In-charge of Plant Quarantine Station, Gede	14
Plant Protection Officer, In-charge of Plant Quarantine Station, Panitanki/Kalimpong	15
Officer-in-charge of Plant Quarantine Station, Hyderabad	16
Officer-in-charge of Plant Quarantine Station, Bangalore.	17

Officer-in-charge of Plant Quarantine Station, Patna/Raxual	18
Officer-in-charge of Plant Quarantine Station, Tiruchy	19
Officer-in-charge of Plant Quarantine Station, Varanasi	20
Officer-in-charge CIPMC Lucknow/PQS, Rupadiha	21
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Introduction

Scope

This standard provides guidance for technical auditing of plant quarantine activities vis-à-vis the procedures laid down in the operational manuals / quality system procedures to bridge the gaps / limitations for further improving the quarantine functioning at all the PQ Stations. However this standard does not cover financial auditing of budget expenditure and other administrative activities.

Definitions & Terms

- ‘Auditee’** - the officer-in-charge of concerned PQ station or the staff/officer responsibility of carrying out specified area of PQ activity or the workstation being audited.
- ‘Auditor’** - The PQ officer nominated for the purpose of carrying out auditing technical activities of concerned PQ station or workstation.
- ‘Audit (Regular)’** - The audit that is carried out at regular intervals as per the guidelines prescribed by the Plant Protection Adviser, Directorate of Plant Protection, Quarantine & Storage, Faridabad.
- ‘Audit (Surveillance)’** - The follow up audit that is carried out to ensure that corrective action/preventive measures are undertaken against non-conformities noticed during the course of regular auditing.
- ‘Audit (checks)’** - The auditing that is carried out to study on-spot activity at port-premises/container freight stations/warehouses etc., to familiarize the procedures actually being practiced.
- ‘Corrective action’** – Any remedial action taken to correct the gaps/limitations brought to the notice during the course of auditing.
- ‘Lead auditor’** An auditor who has undergone training in lead auditors course organized by any institute engaged in regular auditing.
- ‘Non-conformity’** - Any action deviated from the normal procedures laid down in operational manuals/quality systems procedures, as the case may be.
- ‘Preventive measure’** - Any measure taken to prevent recurrence of non-conformity.
- ‘PQIS’** - Plant Quarantine Information System.

Out line of Requirements

The auditing is carried out to find out the gaps/limitations in implementation of plant quarantine guidelines/procedures prescribed by the Plant Protection Adviser and to undertake preventive/corrective measures with a view to harmonize and further improvement of plant quarantine functioning. The job of auditing is not policing and fault finding mission but to bridge the gaps/limitations for effective implementation of plant quarantine guidelines/procedures. The auditing shall be carried out in fair and just manner after taking into consideration the existing regulations and procedures/guidelines. The auditors shall have full knowledge of the plant quarantine regulations, guidelines and procedures prescribed in operational manuals circulated by the Directorate of Plant Protection, Quarantine & Storage and quality systems procedures, where applicable before initiating the auditing.

Guidelines/procedures of auditing

1.0. General Requirements

1.1. Authority to approve audit

The Plant Protection Adviser shall approve the auditing carried out by the nominated auditors, in consultation with JD (PQ). The Jt. Director (PQ), Dte of Plant Protection, Quarantine & Storage (Dte of PPQS) is responsible for organizing the technical auditing of PQ activities of the PQ stations through the nominated auditors by PPA.

1.2. Nomination of Auditors

The PPA shall approve the nomination of the auditors as proposed by Joint Director (PQ) for audit inspection at the beginning of financial year, as far as possible. There shall be atleast two auditors nominated for each auditing, one shall be a local officer and other from outside of the PQ station, which is being audited, as far as possible. The auditors nominated shall have previous knowledge of auditing or undergone training in lead auditor's course. The auditors shall have thorough knowledge of the subject and area of plant quarantine activities. The auditors shall not engage in unnecessary discussions and arguments during the conduct of auditing and shall carry out auditing in true letter and spirit.

1.3. Frequency & Period of Auditing

The regular auditing shall be usually carried out once in a year but surveillance audit shall be carried out once in six months period. The schedules of audit (regular) shall be drawn by Jt Director (PQ) and communicated at least 30 days in advance to the auditors to facilitate making travel arrangements under intimation to the officers-in-charge of concerned PQ stations. The auditing shall be performed usually 3-4 working days period.

1.4. Responsibilities of Auditees

The officer-in-charge of concerned PQ station and the staff/officers responsible for specified activity or workstation should ensure their presence during the time of auditing. They shall extend all the cooperation and necessary facilities to auditors while auditing and present all documents, files & records related to plant quarantine activities to facilitate smooth auditing.

2.0. Specific Requirements

2.1. Areas of Auditing

The auditing shall cover the following areas of activity viz.,

- a) Compliance with the procedures/guidelines laid down in the operational manuals/quality systems procedures, where applicable;
- b) Maintenance of records/formats
- c) Pest interception records;
- d) Records of non-compliances with mandatory documentation requirements such as PSC/IP or both and the action taken;
- e) Sampling & Inspection Procedures actually practiced at inspection sites viz., ICDs/Container Freight Stations/Air Cargo Units/Port Warehouses etc.
- f) Realization of inspection fees as per PQs Order/Cotton import regulations;
- g) Records of any import of prohibited/restricted commodities under PFS order;
- h) Post-entry quarantine inspections
- i) Submission of monthly and annual reports
- j) Records of rejection of commodities for issuance of PSC with reasons;
- k) Records of cotton fumigation and stock and use of methyl bromide;
- l) Records of detention for deportation/destruction of imported commodities and reasons;
- m) Records related to issuance of import permits; and
- n) Laboratory test procedures and equipment utilization

2.2. Methodology of Auditing

The officer-in-charge of respective plant quarantine station at the beginning shall brief the auditors about all the technical activities carried out by the respective PQ station and the workstations under his control and introduce officers of each section or work spot. The auditors thereafter shall hold discussion with officers of each section or work spot and finalize work plan of auditing. The auditing shall be based on test audit of all documents & records related to plant quarantine activities of the concerned financial year. A minimum of at least five per cent of case records shall be audited at random. The auditors shall use the checklists drawn for each activity and record their observations in record sheet specified for each activity (Appendix-I to III). Separate auditing shall be carried out for each work station. The audit checks of inspection and sampling procedures actually practiced by the staff shall be carried out in association with the PQ officer at

each work station. The auditors shall inspect the laboratory records and check the testing procedures and evaluate the proper utilization of laboratory equipments, their maintenance and calibration, where applicable. The concluding day of auditing the auditors shall discuss with the officer-in-charge about any observation or non-conformities noticed during the course of auditing.

2.3. Documents & Records to be audited

The auditors shall audit the all the case records pertaining to the area of activity viz., issuance of permit; import inspection and clearance; post-entry quarantine; export inspection & Phytosanitary certification; laboratory testing; and fumigation/treatment of consignments and master registers, formats used, certificates issued and the reports.

2.4. Reporting & Review

The auditors shall prepare a detailed report in five copies in prescribed format (Appendix-IV), which is duly signed by the auditors and the officer-in-charge of the concerned PQ station. Two copies of the same duly submitted to the Joint Director (PP), PQ Division, Dte PPQS, NH-IV, Faridabad – 121001 and one copy for officer-in-charge of the concerned station and one copy for each auditory Joint Director (PQ), immediately upon the receipt of audit report, shall review the audit observations/non-conformities and order the officer-in-charge of concerned PQ station to take appropriate corrective action/preventive measures. A surveillance audit is carried out after a six months period to ensure that necessary corrective action and prevention measures re undertaken and the auditor nominated for this purpose shall submit a surveillance audit report in prescribed format (Appendix-V) to the Directorate for further necessary action.

FUNCTIONING OF PQIS

S. No	Activity	Yes / No	Remarks
01	Whether the station has PQIS system.		
02	If no, upto which date the station is going to fully equipped with PQIS.		
03	If yes, upto what extent PQIS is available.		
04	Whether import system is fully equipped with PQIS.		
05	Whether online application for IP is received.		
06	Whether online IP is issued.		
07	Whether online Fees of Import permit & Import inspection is realized.		
08	Whether online release order is issued.		
09	Whether online application for Phytosanitary Certificate is received.		
10	Whether online PSC is issued.		
11	Any other online document is issued / received.		

Appendix – I

1. Checklist for auditing issuance of import permit.

S.No	Area of Activity/Items of Auditing	Yes/No
1.A	Issuance of IP (consumption)	
	1. Application in prescribed format	
	2. Realization of fees as per PQ order.	
	3. Incorporation of Additional declarations in IP	
	4. Any IP issued for prohibited/restricted commodities under PQ order?	
1.B	Issuance of IP (propagation)	
	1. Application in prescribed format	
	2. Realization of fees as per PQ order	
	3. Registration Certificate from NSC/State Department of Agriculture or Horticulture	
	4. Recommendation of DAC (course cereals /pulses/oil seeds/fodder crop seeds/fruit plant species)	
	5. Undertaking to grow under post entry quarantine (where applicable)	
	6. Incorporation of Additional declarations in IP.	
	7. Incorporation of post-entry quarantine requirements	
	8. Any IP issued for prohibited/restricted commodities under PQ order?	

Appendix – II.

Checklist for auditing Import Inspection

S. No	Item of activity for auditing	Yes/No
1.	Application in prescribed format (for propagation/sowing)	
2.	Whether an officer of the rank of PPO or above scrutinizes the application and found correct and complete in all respects	
3.	Accompanied by IP & PSC.	
4.	Additional declaration on PSC.	
5.	Application registered and inspection fees / fumigation or treatment charges / supervision charges (where applicable). Realized as per PQ Order, 2003.	
6.	An application has been received for import inspection in respect of an item covered under Schedule – IV or V.	
7.	Quarantine order issued and staff deputed for inspection of consignment.	
8.	Commodity inspection – appropriate samples are drawn and submitted to laboratory examination <ul style="list-style-type: none"> i. Scale of sampling ii. No of sample iii. Sample size iv. Submitted samples. 	
9.	Size of the working sample. <ul style="list-style-type: none"> a. Pathological investigations. <ul style="list-style-type: none"> i. Microscopic Examination. ii. Washing test iii. Incubation (Blotter/Other test) b. Bacteriological investigations. c. Virological investigations. d. Any special test. e. Result of investigations. 	
10.	Size of the working sample. <ul style="list-style-type: none"> a. Entomological investigations. <ul style="list-style-type: none"> i. X-ray examination. ii. Zoom microscopic examination. b. Nematological investigations. c. Any special test. d. Result of investigations. 	
11.	Size of the working sample <ul style="list-style-type: none"> a. Presence or absence of weeds. b. Result of investigations. 	
12.	Inspection report was submitted to officer in-charge.	

13.	Interception of the pests. a. Pathological. b. Bacteriological. c. Virological d. Entomological e. Nematological f. Weeds	
14.	Category of the pest a. Major b. Medium c. Minor	
15	Commodity fumigated / treated (chemical / dosage / duration of exposure by approved PCO under supervision of PQ staff and re – inspected.	
16	Relaxation letter from DAC (where not accompanied by IP / PSC or both) and additional fee realized before release.	
17	Release order issued for the commodity (where PEQ involved, DIA was intimated).	
18	Detention order issued for deportation and or destruction of commodity and reasons recorded.	
19.	PEQ inspection report received from DIA. (if applicable)	

Appendix – III

A. Checklist for auditing export inspection and issuance of Phytosanitary certification.

S. No	Item of activity for auditing	Yes/No
1.	Application received in prescribed format.	
2.	Whether an officer of the rank of PPO or above scrutinizes the application and found correct and complete in all respects	
3.	Application is accompanied with letter of credit/contract/any document providing import requirement of the importing country/IP from the importing country etc.	
4.	Application registered and inspection fees / fumigation or treatment charges / supervision charges (where applicable). realized.	
5.	Quarantine order issued and staff deputed for inspection of consignment.	
6.	Commodity inspection – appropriate samples are drawn and submitted to laboratory examination i. Scale of sampling ii. No of sample iii. Sample size iv. Submitted samples.	
7.	Size of the working sample. a. Pathological investigations. i. Microscopic Examination. ii. Washing test iii. Incubation (Blotter/Other test) b. Bacteriological investigations. c. Virological investigations. d. Any special test. e. Result of investigations.	
8.	Size of the working sample. a. Entomological investigations. i. X-ray examination. ii. Zoom microscopic examination. b. Nematological investigations. c. Any special test. d. Result of investigations.	
9.	Size of the working sample a. Presence or absence of weeds. b. Result of investigations.	
10	Inspection report was submitted to officer in-charge.	

11	Interception of the pests. a. Pathological. b. Bacteriological. c. Virological d. Entomological e. Nematological f. Weeds	
12	Category of the pest a. Major b. Medium c. Minor	
13	Commodity found infected/instead by specified pest/or other injurious pest as revealed by inspection report.	
14	Commodity fumigated/treated (chemical/dosage/duration of exposure) by approved PCO and supervised by PQ staff and re-inspected, where applicable.	
15	Phytosanitary certificate issued in appropriate format incorporating additional declarations/treatment particulars.	
16	Commodity rejected for issuance of PSC and rejection letter issued giving sufficient reasons for not issuing PSC.	

3. B. Record sheet for auditing import inspection.

Name of Stations :																			
S.No	Case No	Date	Status of item of activity audited (1-16)																Remarks
			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	
Name of Auditor :															Signature with date:				

Appendix – IV

Audit (Regular) Report.

1.	Name & Address of PQ Station/work station audited	
2.	Auditees (Name & Designation): 2.1. Officer-in-Charge: 2.2 Technical officer/staff responsible for concerned workstation:	
3.	Brief activities of PQ station/workstation	
4.	Auditing related to financial year of	
5.	Date (s) of Auditing:	From: To:
6.	List of Records Audited:	
7.	Audited by (Name & Designation):	
8.	Details of Auditing reported	Refer to Pages ----- to -----.
9.	(a) Signature of Auditors with date 1. ----- 2. -----	(b) Signature of Auditee (Officer-in-charge) with date -----

3.0. Details of Auditing Report.

3.1. General Comments:

3.2 Specific observation/non-conformities:

3.2.1. Auditing issuance of permit:

A. Statistical data pertaining to issuance of permit.

Category	No. of appl. Received	No. of appl. Rejected	No. of permits issued	No. of permits utilized	No. of permits / restrict consign	Fee realized	No of cases audited
Consumption							
Propagation							
Total							

B. Details of non-conformities/observations noticed in issuance of permit.

Item of Activity	Type of non-conformity/observation	Frequency	Remarks
Consumption plant material			
1.			
2.			
3.			
4.			
Propagation plant material			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

3.2.2. Auditing import inspection of plants/plant material:

A. Statistical data for import inspection.

Category	No. of Consig inspect		No. of Consig infest		No. of Consig fumig		No. of Consig release		No. of Consig detain		No. of Consig W/o IP/PSC		No. of Consig PEQ		Fees	
	C*	P	C	P	C	P	C	P	C	P	C	P	C	P	C	P
Baggage																
Courier/ Mail																
Cargo (A/S/L) *																
Total																
No. of cases Audited																

***C: Consumption; P: Propagation plant material; A: Air cargo; S: Sea cargo; and L: Land frontier.**

B. Details of non-conformities/observations noticed.

Item of Activity	Type of non-conformity / observation noticed	Frequency	Remarks
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			

3.2.3. Auditing export inspection & Phytosanitary certification:

A. Statistical data for export inspection & Phytosanitary certification.

Category	No. of Consig inspected	No. of Consig infested	No. of Consig fumigated	No. of Consig certified	No. of Consig rejected	Export fee realized	No. of cases audited
Consumption							
Propagation							
Total							

B. Details of non-conformities/observations noticed.

Item of Activity	Type of non-conformity / observation noticed	Frequency	Remarks
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			

3.2.4. Details of non-conformities/observations noticed.

S.No	Type of non-conformity / observation	Frequency	Remarks

3.2.5. Auditing post-entry quarantine inspection records:.

S.No	Type of non-conformity / observation	Frequency	Remarks

3.2.6. Auditing laboratory test records – Fungal Pathology/ Bacteriology/ Virology/ Entemology/ Nametology & Weed Science.

S.No	Type of non-conformity / observation	Frequency	Remarks

3.2.7. Auditing of laboratory equipments.

S.No	Name of the equipment	Frequency of use	Functional	Non-functional	Remarks
	Fungal Pathology				

	Nametology				
	Weed Science				

3.2.8. Auditing other technical activities:

S.No	Type of non-conformity / observation	Frequency	Remarks

3.2.9. Summary of Audit Report:

Area of Activity	Item of Activity	Type of non-conformity/observation	Remarks
1. Issuance of permit			
2. Import inspection			

3. Export inspection			
4. Fumigation / treatment of consignments			
5. Post-entry quarantine inspection			
6. Laboratory testing/ utilization of equipments			
7. Any other technical activities			
Name of Auditors:		1. -----	1. -----
Signature with date		2 -----	2 -----

4. Audit (Surveillance) Report

1. Name & Address of PQ Station/
work station audited:

2. Date of auditing (surveillance):

3. Audited by:

4. Details of audit (surveillance) carried out:

Area of Activity	Item of Activity	Type of non-conformity/observation	Remarks
1. Issuance of permit			
2. Import inspection			
3. Export inspection			
4. Fumigation / treatment of consignments			
5. Post-entry quarantine inspection			
6. Laboratory testing/ utilization of equipments			
7. Any other technical activities			
Name Signature with date		_____	_____
		(Auditor)	(Officer-in-charge)