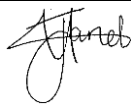
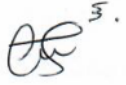


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Department: Phytosanitary Services	Issued by: PLANT INSPECTOR	Sign:  Date: 15/07/2020
Work Instruction for Export Inspection and Certification of Plant products and regulated articles	Approved by: HEAD DEPARTMENT OF	Sign:  Date: 15/07/2020

1. **Background Information:**

This work instruction is based on ISPM No. 7 which provides for the Phytosanitary export certification with the following basic requirements;

- Ascertaining the relevant phytosanitary requirements of the importing country.
- Verification that the consignments conform to those requirements at the time of certification.
- Issuance of phytosanitary certificates.

The document also provides guidelines to ascertain grading for fruits and vegetables for conformance to destination market requirements.

2. **Purpose:**

The purpose of this Work instruction is to provide steps to be followed when inspecting plants, plant products and other regulated articles for export as per the market requirements while implementing procedures outlined in **SOP KEPHIS/PS/01.**

3. **Scope:**

This work instruction covers steps required from receipt of inspection request to issuance of a phytosanitary certificate.

SECTION I: Requirements and Preparation for Inspections

1.0 Inspection tools

A combination of the following tools shall be required for effective inspections;

- Personal Protective Equipment's (gloves, gum boots/ safety boots, dust coat, face masks, hat, goggles) Inspection kit consisting of; An Inspection Knife, Magnifying Glass, Fine Brush, A Vial/Pooter, Flash Light
- Sampling jars/Kilner jars/Bags/probes
- Préservative reagent
- Pill Boxes for storing insects
- Regulatory Stamps and Tapes
- Inspection registers.
- Inspection bag
- Spikes.

2.0 Preparation for inspection

2.1 Export requirement

The inspector shall confirm export requirements from: -

- a. Plant import permit from the importing country.
- b. Import requirements available online where applicable.
- c. KEPHIS website where applicable.

2.2 Pest identification references

For pest identification, refer to Information in the: -

- a. Pest identification cards.
- b. KEPHIS website pest corner.
- c. Online resources.

3.0. Inspection area

The inspector ensures adequate facilities are available to perform the inspection.

- a. Inspection tables with cleanable surface.
- b. Sufficient lighting with bulb covers.
- c. Strapping machine

If cross infestation risk exists, it must be eliminated prior to proceeding with the inspection.

Section II: Exit Point Inspections (JKIA, Mombasa, Eldoret, Nakuru Naivasha, Timau and Kisumu)

1. Request for produce/ Product inspection

- 1.1 The inspector shall access the electronic certification system using personal log in credentials.
- 1.2 The inspector shall access electronic certification system module on Overview of submitted consignments to assign oneself depending on the inspection zone as per the work schedule.
- 1.3 The Inspector shall acquire the necessary inspection tools and proceed to the assigned inspection zone.

2. Document Verification.

The inspector shall verify export documents (invoices & packing lists, field inspection certificates/reports, inspection reports to ensure that they are;

- Complete
- Consistent with what is submitted in the ECS online application or other applications
- If documents identity vary, the inspector shall advice the exporter or agent as appropriate.
- If the documents identity is consistent, the inspector shall verify the number of lots in the consignment and determine the sample size.

N/B: Lot identification shall be the number of species in a consignment.

3. Presentation of produce /products and sampling.

- a) The inspector shall ascertain presence of the consignment in the inspection zone.
- b) The inspector shall apply stratified sampling methodology as described in ISPM No. 31.
- c) Within the strata random sampling will be applied to pick samples for inspection and use provisions of hypo geometric table (***See annex***).
- d) The number of units in the sample to be inspected shall be based on the risk matrix (***See Annex***) which indicates the risk level of commodities and quantity of samples to be drawn for every commodity at different risk levels. The number and composition of lots to be inspected will be specified. Factors to be considered in deciding the number of lots into which the consignment may be divided include;

origin, grower, packaging facility, species, variety or grade, exporter, integrity of the lot, objective of the inspection, practical operation, limitation, treatment at origin and type of processing.

- e) The inspector shall proceed to inspect the sample with regards to the import requirements and existing National Phytosanitary requirements.
- f) Each lot should be inspected as a distinct, identifiable, homogenous group of articles.
- g) Nursery Stock - The inspection level for nursery stock should be 100% of the consignments

N/B. The strata chosen is based on varieties.

4. Identification – Consignment identity and integrity

- a) Check to ensure that the consignment is accurately described in the documents presented.
- b) Verify whether the type of plant or plant product or species, quantity and status is in accordance with the export invoice or packing list.
- c) Check Packaging for name and address of the exporter, Kenya Produce logo and type of produce in the package.

If the consignment meets the above requirements, proceed to next step.

5. Actual inspection of sampled produce

The inspector shall visually examine the sample to ensure that the sample is free from;

- a) Pests and pest damages.
- b) Chemical deposits and chemical damage.
- c) Excessive moisture.
- d) Any regulated article/foreign material.

In addition, the inspector ensures that;

- e) The sample has no physiological disorders, produce is properly/correctly graded (uniformity in size, color, shape, maturity index,).

- f) The packaging material is clean, strong and appropriately labelled

Inspection technique

- Inspect flowers for insects by; turning the bunch upside down; and gently tapping stems and by vigorously shaking all bunches and/or stems over the inspection tray to dislodge insect pests Using appropriate optical enhancement (see equipment list) inspect the selected bunches, fruits and or vegetables per

carton for disease and insects by checking; the undersides of leaves/foilage, surface of the fruits or vegetables, flower heads, especially the petals and sepals.

- Cut open the fruit/vegetable taking note of any signs of pest damage.

g) Ensure that you frequently check the contents of the inspection tray for insects.

6. Sampling procedures

7. Inspection outcome

7.1 Compliant consignments,

- If produce meets export requirements, select the consignment you have inspected, select record inspection result, insert inspection result if any, save and pass by pressing the "pass consignment button".

7.2 Non-compliant consignments

- If one or some of the varieties (lots) in the consignment is non-compliant, select the consignment, select record inspection result, enter date and save. Select "detailed variety inspection result" button and enter rejected quantity and save. Select "reject consignment" and proceed to the next consignment
- In case of a rejection issue a rejection notification. Make sure to fill in the name of the exporter, the produce, quantity rejected, reason, name of the inspector and the date in the rejection register and handle as per the SOP.

NB: There is nil tolerance for quarantine (QP) and regulated non quarantine pests (RNQP) and diseases. Generally, the consignment should be practically free from pests or diseases that are not classified as QP or RNQP.

8. Rejection Procedure

When produce fails to comply with the required regulations or market requirements, the inspector shall reject it.

- a) The entire inspection lot from which the sample was drawn must be rejected.
- b) The rejected lot(s) in the consignment must be removed from the inspection area and must be stored in the designated Rejected Product Area.
- c) The inspector shall issue a rejection notice. This shall include;
 - Name of exporter.
 - Type of produce.
 - Quantity rejected
 - Reason for rejection

- d) A sample of the rejected produce must be retained by KEPHIS for at least 24 hours as reference.
- e) The inspector shall reject the portion of non-compliant consignment in the electronic certification system.
- f) The inspector shall communicate the rejection to the grower through an email and share the same to the regional offices for rejection follow up.

9. Issuance of Phytosanitary Certificate

- a) After the inspection, the inspector shall complete the exercise by signing and stamping the invoices.
- b) The inspector shall pass the consignment in the Electronic certification system.
- c) The inspector shall issue and print the certificate.
- d) The authorizing officer shall confirm that Phytosanitary certificate details are correct as required by the importing country.
- e) The authorizing officer shall endorse the phytosanitary certificate.
- f) Copies of issued phytosanitary certificates are retained in soft copy in the Electronic Certification System (ECS) database automatically.

SECTION III: Applicable to Border Point Inspection of exit consignments:

1. Request for Inspection

The exporter presents his/her request for inspection through telephone call, letter, e-mail, electronic certification system, visit or any other means. The exporter then provides the inspector with the following documents:

- a. Plant Import Permit from importing country where applicable.
- b. Phytosanitary Certificate or Re-Export Phytosanitary Certificate from Kenya.
- c. SR14 for seed consignments.
- d. ISTA orange certificate for seed consignments where applicable.
- e. KRA Entry form.
- f. Invoice containing:
 - Consignee's name & address.
 - Exporter's name and address.
 - Type and quantity of produce.
 - Country of destination and point of entry.

2. Verification of Request for Compliance

- Verify the document(s) by checking the above information in the invoice to ascertain whether the consignment is the correct one, whether authorized, prohibited or controlled.
- If the consignment is prohibited reject.

- If the consignment falls under the controlled category find out if there is an authorization letter from the relevant body.
- If the consignment falls under the authorized category and everything is correct proceed and inspect.
- If all documents are in order retain copies of the Export Documents and stamp on the KRA Entry form.
- If documents are not adequate, advise the client accordingly.

3. Sampling and Inspection.

Sampling is done as described in step Section 2 number 3 above.

- Inspection is carried out at the designated or place where the consignment is located.
- Ensure the consignment and the storage/transport facility are clean and suitable for inspection, if not, don't inspect.
- To enable easy accessibility for sampling and counting of pieces, packaging should be ideal.

3.1 Inspection

3.2 Inspection is done by visual assessment based on the assumption that the aspects

3.3 of concern are visually detectable. The produce must meet the following conditions:

- Free from live pests and pest damage.
- Free from chemical damage.
- Free from excessive moisture, rot & bad smell.
- Free from soils, chaff and leaf mould.
- Free from physiological disorders.
- Should be properly graded.
- The consignment should meet the permit conditions of the destination

3.4 Approve the produce for export if it meets the export conditions by appending a signature and write the time of inspection on the original invoice or packing list presented by the exporter.

3.5 In the case of regulated articles, also retain photocopies of letters of approval from relevant authorities.

If the produce does not meet the above conditions the exporter is issued with rejection notice.

3.6 In case the produce has low **Phytosanitary risk**, the inspecting officer can issue an **Advice notice** and sanction on spot treatment/sorting/grading at exporters cost before a Phytosanitary Certificate is issued.

4. Documentation Release

Before releasing the consignment, the following details shall be captured in the Electronic Export register:

- Date of presentation of documents.
- **Rotation** number and entry number.
- Name of Importer
- Country of origin of consignment
- Quantity in Kilograms or other measure
- Name of commodity
- Nature of Produce
- The declaring Agent
- Final Destination
- Phytosanitary certificate Number
- Permit number
- Any other information relevant for phytosanitary purpose.

5. Issuance of Phytosanitary Certificate

The exporter fills the Phytosanitary certificate request form. After payment of the necessary charges, a phytosanitary certificate is then prepared for the produce that has passed the inspection. After the client receives the Phytosanitary certificate; he/she fills the phytosanitary collection register and signs for the document.

Section IV: Other Inspection categories

This instruction will apply for inspection and issuance of phytosanitary certificates for research material.

1. Inspection request;

- For low risk material (mostly processed), the client requests for inspection via telephone call, letter, e-mail, electronic certification system, visit or any other means. Inspector records request in inspection register and assigns inspector as per SOP.
- Inspector conducts inspection at facility/godown and prepares an inspection report using either the PQS manual or WI.1 KEPHIS/PS 03.
- If the client is registered in ECS, the inspection report is uploaded into the system.

NB: for research material inspect the entire consignment and issue a phytosanitary certificate if the materials meet the research criteria and the import conditions of the destination country. Seed is processed in accordance with the seed Act while other

research material must meet other legal requirements including CITES, material transfer agreement (MTA), Biodiversity etc.

2. Document processing;

- Inspector records the details of the application as per the SOP (details include; client's name, product, quantity, date received, etc.)
- Inspector evaluates documents for compliance

3. Issuance of phytosanitary certificate;

- After inspection (for research material), if the consignment complies with the phytosanitary requirements, a Phytosanitary certificate is issued.
- If the consignment doesn't comply the material is rejected and a rejection notification given to the exporter
- The authorizing officer confirms that phytosanitary certificate details are correct as required by the importing country before signing and stamping with the relevant stamps
- Issuance of the PC is done after the applicant has paid required charges.
- Payment record or Receipt number should be captured in the issuance register.
- The application form and a copy of the PC are retained and filed accordingly.

Appendix 1

	Hypergeometric-based sampling (random sampling)	
Lot size	sample size	confidence level
1-13	All	1
14 -15	13	1
16-17	14	0.954
18-19	15	0.952
20-22	16	0.953
23-25	17	0.955
26-28	18	0.953
29-32	19	0.952
33-38	20	0.950
39-44	21	0.954
45-53	22	0.954
54-65	23	0.954
66-82	24	0.954
83-108	25	0.954
109-157	26	0.954
158-271	27	0.954
272-885	28	0.954
886-200,000	29	0.954

Appendix 2.

Risk profiling criteria.

Risk level	Sample size
Level III (HIGH RISK) • Exporters with one interception in the last month. • Produce with high susceptibility to the pests of concern i.e. Thaumatotibia leucotreta, Lyriomyza sp, Bemisia sp, roses. • Companies with 3 rejections within the last one month. • Companies exporting high risk produce; capsicum, basil, karalla, Turia, Luffa, roses, ravaya/aubergines and plants for planting to the EU and Australia.	Roses- 700 stems of the sampled units. Capsicum -100% of the content of the sampled units. Cut 10 fruits per box. Basil-100% of the content of the sampled units. 100% of box content inspected. Karella: 100% of the content of the sample unit. Ravaya/Aubergines: 100% of the content of the sample unit. Cut 1 fruit per box.
Level II	Sample size
• No Interception in the last one month. • Companies with 1 rejection within the last one month. • Companies with insufficient pest management systems from the previous farm system audits. • Companies not exporting to the EU. • Other commodities to the EU other than those listed in level III Sampling is as ISPM 31	2%-Fixed proportion sampling. This is the best practice (Ref. ISPM 23 Part 1.5) which allows for other considerations in inspections.
Level I (LOW RISK)	

• Companies with 0-1 rejection in the last one month • Companies with proper pest management systems from the previous compliance monitoring audit. • Products that undergo processing before export. • Sampling is as ISPM 31	2% of the lot
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