

KEPHIS	DOC. NO. SOP/KEPHIS/PS/09	REV. NO.01
	ISSUE NO. 01	
SECTION: PHYTOSANITARY SERVICES	ISSUED BY: INSPECTOR	Sign:  Date: ...05/10/2020.....
SOP FOR RISK PROFILING FOR EXPORT CERTIFICATION.	APPROVED BY: HEAD BIOSAFETY AND PHYTOSANITARY SERVICES	Sign:  Date: ...05/10/2020.....

1.0 Purpose.

To enhance inspection contact time with consignments, achieving satisfactory confidence levels on sampling intensity.

2.0 Scope.

This procedure describes steps and requirements for risk profiling of companies and commodity types for export certification of plants, plant products and regulated articles from the point of request for inspection to issuance of a phytosanitary certificate. This procedure covers the general outline for inspection and certification activities. Any work instruction generated to qualify this procedure can be done by each section of the phytosanitary service department.

3.0 References.

- 3.1 Plant protection Act (CAP 324)
- 3.2 International Standards for Phytosanitary Measures- ISPMs
- 3.3 Agricultural produce (Export) Act (CAP 319)
- 3.4 Market Import requirements.
- 3.5 ISO 9001:2015 Standard

4.0 Definitions.

4.1 Inspection: Official visual examination of plants or other regulated articles to determine presence or absence of a pest to ascertain phytosanitary compliance.

4.2 Inspector: An officer of the Kenya Plant Health Inspectorate Service (KEPHIS) appointed to carry out the functions of the agency in relation to the provisions of the Plant Protection act (CAP 324).

4.3 Consignment: A quantity of plants, plant products or other articles being moved from one country to another and covered, when required, by a single phytosanitary certificate (a consignment may be composed of one or more commodities or lots) [FAO, 1990; revised ICPM, 2001].

4.4 A lot: A number of units of a single commodity, identifiable by its homogeneity of composition, origin etc., forming part of a consignment [FAO, 1990].

5.0 RESPONSIBILITIES:

The Head Biosafety and phytosanitary Services shall be responsible for the implementation of this SOP.

6.0 SCHEMATIC PRESENTATION.

INSPECTION OF FACILITIES

Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Risks	Checks/ Controls	Opportunities	Resources
▪ Client ▪ Rejection notices ▪ Audit reports ▪ NPPO of importing country. ▪ Clients root cause analysis reports	▪ Client requests. ▪ Interception notification. ▪ Rejection notification.	▪ Receipt of interception notification. ▪ Blocking of ECS account. ▪ Evaluation of root cause analysis report.	▪ Inspection risk profile ▪ Inspection report. ▪ Rejection notice.	▪ Inspectors	▪ Biased risk profile. ▪ Interception	▪ Verification of risk profile. ▪ Regular review of risk categories.	▪ Exchange program. ▪ Capacity building.	▪ Inspector ▪ Reference documents

7.0 Procedure/ Method.

7.1 Identify parameters that affect compliance , these include number of interceptions from the importing country, number of rejection incidences at exit point inspection, Seasons of the year, market risk of the commodity, nature of produce in relation to probability to cause an interception in the importing country.

7.2 Determine threshold for each risk parameter to ascertain risk categories. Thus;

i. Category4. Very high risk

- Company having one interception at any given time due to presence of harmful organism.
- Produce with high susceptibility to the pests of concern - Thaumatotibia leucotreta, Lyriomyza sp, Bemisia sp.
- Companies with 3 rejections within a week.
- Companies dealing with highly risk produce; capsicum, basil, karalla, roses and exporting to the European Union member states.

ii. Category3. High risk

- Companies with insufficient pest management systems from the previous farm system audits.
- Companies with less than 3 rejections for the last one week.

iii. Category 2 and 1 Medium and Low risk.

- Companies with 1 rejection in the previous week.
- Companies with proper pest management systems from the previous compliance monitoring audit.

8.0 Records.

8.1. Monthly Rejection analysis Rejection follow-up reports.

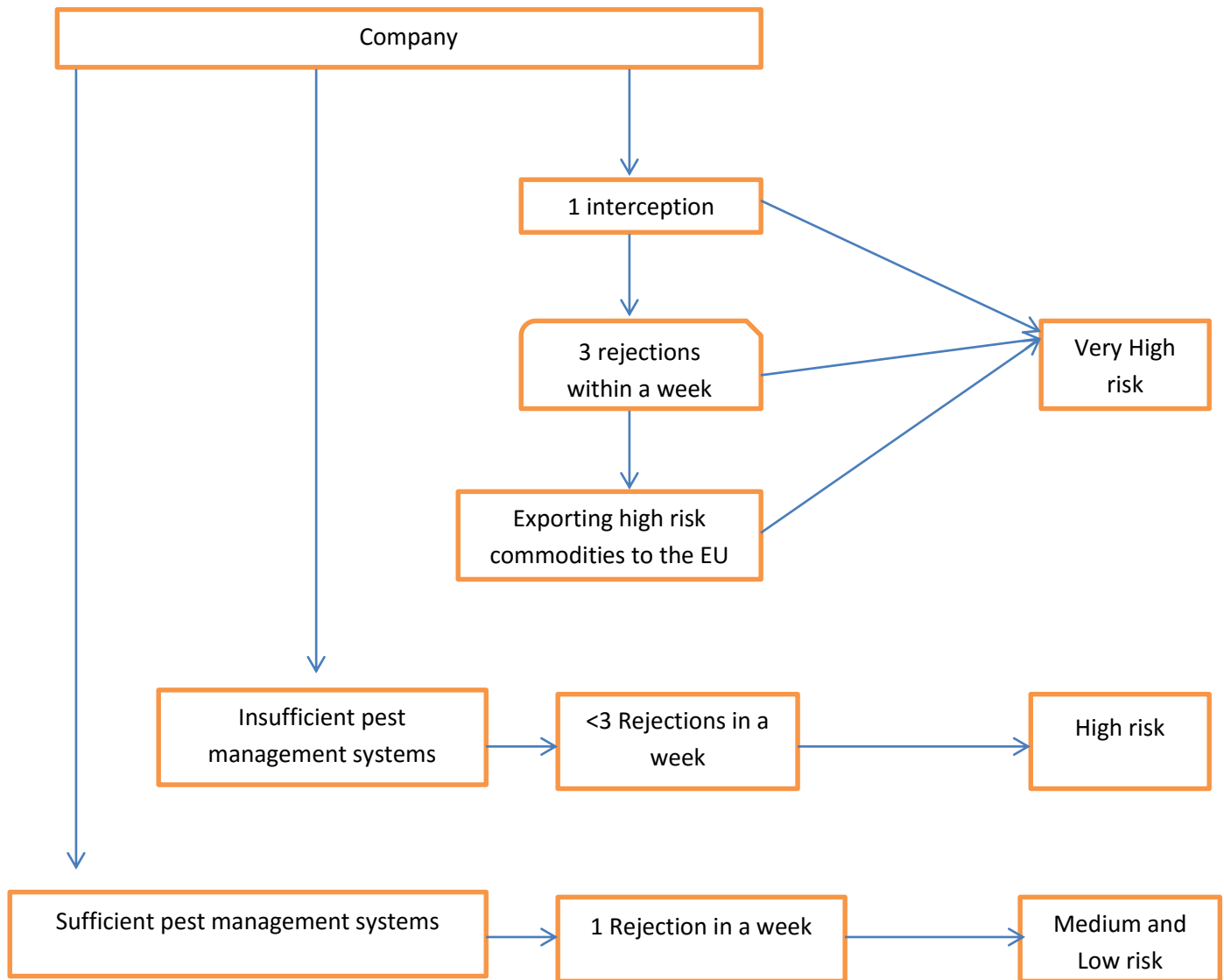
8.2 Notifications of interceptions from importing countries

8.3 Audit reports

8.4 Notice of interception

8.5 Interception notification to the exporting country

9.0 Appendix 1.



10.0 Appendix 2.

	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

N/B. Any risk category, sampling is based on the table above to enhance confidence level.

11.0 REVISION DETAILS.

REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NO.	REVISION NO.
Initial SOP development	Align the process to ISO 9001:2015	15/8/2018	H-BPS	01	00
Review of criteria for risk profiling	To reflect the current practice	05/10/2020	H-BPS	01	01