

1 This appendix was approved by the NAPPO Executive Committee on **Date here**.
2 The appendix is for reference purposes only and is not a prescriptive part of RSPM 9.
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6 **Appendix 1: Audit Checklist**
7 **for RSPM 9 - Authorization of Laboratories for Performing Phytosanitary Testing**
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11 Laboratory Name: _____
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13 Location: _____
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15 Laboratory Contact: _____
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17 Audit Date: ____ / ____ / ____
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19 Audit team: _____
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NPPO Reference

RSPM 9 CHECK POINT	RSPM REF	EVIDENCE	MEETS RSPM 9	COMMENTS
<p>National Plant Protection Organization (NPPO)</p> <p>The NPPO ensures the integrity of their programs.</p>	1.0		YES NO	
<p>The NPPO provides the information and resources to implement and maintain the laboratory authorization program.</p>			YES NO	
<p>NPPO Authority</p> <p>The NPPO has the authority to monitor authorized laboratories performing phytosanitary testing.</p>	1.1		YES NO	
<p>The NPPO has the authority to suspend or revoke the authorization of a laboratory that does not comply with the agreed-upon standards or provisions.</p>			YES NO	
<p>NPPO Responsibility</p> <p>The NPPO is responsible for providing the authorized laboratory with the necessary information to apply for and maintain their authorization.</p>	1.2		YES NO	
<p>The NPPO is responsible for conducting the authorization process.</p>			YES NO	

The NPPO or its representative evaluates the competence of the laboratory prior to entering into the authorization the agreement.			YES NO	
The NPPO or its representative periodically monitors the competence of the authorized laboratory to ensure that work continues to meet the agreement.			YES NO	
The NPPO evaluates the authorization status of a laboratory where monitoring identifies non-compliance.			YES NO	

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Applicant Laboratory Checklist

Applicant Laboratory	2.0			
Laboratory has completed the authorization process established by the NPPO and all the NPPO general and specific legal requirements.			YES NO	
Laboratory has met the requirements of this standard.			YES NO	
Laboratory should promptly inform the NPPO of changes that could affect the authorization agreement (personnel, equipment, methods, facilities, ownership, subcontracting and others).			YES NO	

<p>Laboratory Applications</p> <p>The laboratory designates a representative accountable to the NPPO.</p>	<p>2.1</p>		<p>YES NO</p>	
<p>The laboratory designates a representative who has the authority to sign the authorization agreement with the NPPO.</p>			<p>YES NO</p>	
<p>The NPPO approves the applications for authorization.</p>			<p>YES NO</p>	
<p>The authorization agreement identifies confidential information.</p>			<p>YES NO</p>	
<p>The laboratory and the NPPO secure and protect confidential information.</p>			<p>YES NO</p>	
<p>Laboratory Subcontracting</p> <p>The authorized laboratory is responsible for the subcontracted activities.</p>	<p>2.2</p>		<p>YES NO</p>	
<p>The authorized laboratory subcontracts to a laboratory that is accredited to an internationally recognized standard or is authorized by the NPPO to perform phytosanitary testing.</p>			<p>YES NO</p>	

The authorized laboratory indicates which testing is performed by the subcontractor.			YES NO	
The NPPO is notified as soon as possible when the authorized laboratory subcontracts at any point during the agreement.			YES NO	
Laboratory Quality Systems	2.3			
The applicant laboratory documents and adheres to its quality system.			YES NO	
The applicant laboratory's quality system is based on a nationally or internationally recognized standard.			YES NO	
The applicant laboratory's quality system meets the NPPO requirements.			YES NO	
The applicant laboratory's quality system is managed to safeguard impartiality.			YES NO	
The applicant laboratory monitors its competency using check samples, participation in proficiency testing program, or other mechanisms as required by the NPPO.			YES NO	

The applicant laboratory identifies non-conformities and promptly takes action to correct them.			YES NO	
The applicant laboratory uses authorized methodologies when required by the NPPO			YES NO	
The applicant laboratory uses other documented and approved methods if the NPPO does not specify the method to be used.			YES NO	
Laboratory Personnel	2.4			
The applicant laboratory personnel follow the quality system.			YES NO	
The applicant laboratory documents the qualifications and training of personnel.			YES NO	
The applicant laboratory monitors the competency of personnel.			YES NO	
Laboratory Facilities	3.0			
The applicant laboratory's facilities and environmental conditions are suitable.			YES NO	
The applicant laboratory monitors, controls and periodically reviews its facilities and environmental conditions.			YES NO	

<p>Laboratory Equipment</p> <p>The applicant laboratory has the equipment required for the correct performance of phytosanitary testing activities as established in the agreement.</p>	<p>4.0</p>		<p>YES NO</p>	
<p>The applicant laboratory monitors equipment performance through an established and documented calibration and verification program.</p>			<p>YES NO</p>	
<p>The applicant laboratory's equipment conforms to the laboratory's quality system.</p>			<p>YES NO</p>	
<p>Laboratory Records</p> <p>The applicant laboratory maintains records of the phytosanitary testing activities authorized by the NPPO.</p>	<p>5.0</p>		<p>YES NO</p>	
<p>The applicant laboratory maintains records to demonstrate that results are reviewed and approved by authorized personnel prior to reporting.</p>			<p>YES NO</p>	
<p>The applicant laboratory provides all records for phytosanitary testing activities for which it is authorized whenever requested by the NPPO</p>			<p>YES NO</p>	

<p>The applicant laboratory maintains records in a way that ensures integrity and traceability of phytosanitary testing activities for the period specified by the NPPO.</p>			<p>YES NO</p>	
<p>Authorization Agreement</p> <p>Authorization agreements describe the rights, obligations, and requirements of both the NPPO and the authorized laboratory.</p>	<p>6.0</p>		<p>YES NO</p>	
<p>Authorized laboratories in compliance with the requirements established in the agreement are issued a record of authorization or equivalent document.</p>			<p>YES NO</p>	
<p>Authorization is renewed at a frequency established by the NPPO.</p>			<p>YES NO</p>	
<p>Voluntary Termination</p> <p>Upon termination, the laboratory will not perform any phytosanitary testing activities authorized in the original agreement.</p>	<p>7.0</p>		<p>YES NO</p>	
<p>The NPPO update the publicly available list of authorized laboratories.</p>			<p>YES NO</p>	

Suspension, Reinstatement or Revocation

<p>Suspension, Reinstatement or Revocation</p> <p>The NPPO specifies the procedures and criteria for suspension, rejection, revocation, or reinstatement of authorization.</p>	<p>8.0</p>		<p>YES NO</p>	
<p>Laboratories that wish to have authorization reinstated shall meet the requirements for reinstatement of authorization as specified by the NPPO.</p>			<p>YES NO</p>	
<p>During suspension, the laboratory remains under the purview of the NPPO and is obligated to meet the agreement.</p>			<p>YES NO</p>	
<p>During suspension or revocation, the laboratory shall not perform any phytosanitary testing activities for which they were authorized.</p>			<p>YES NO</p>	

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Evidence was presented in the form of copies of documents related to the authorization of laboratories. Following is a list of these documents:

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- 2.**
- 3.**
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- 6.**

NOTES / COMMENT SUMMARY